CANADA

no. 4

RECORDS ORGANIZATION

and

OPERATIONS

Paperwork Management Series

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RECORDS ORGANIZATION
and
OPERATIONS

This handbook has been prepared by the Records Management Branch
of the Public Archives of Canada in collaboration with the Management
Improvement Policy Division of the Treasury Board Secretariat.

PAPERWORK MANAGEMENT SERIES:

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1. PURPOSE OF THIS HANDBOOK

(1) The purpose of this handbook is to provide Records Managers, records management personnel, and others who have a responsibility of any kind with respect to the records of a department or agency with:

(a) a reference manual to promote efficient handling of records whether the Records Office of a department or agency is large or small; and

(b) a central source of technical information and operational guidelines for records management operations.

(2) The handbook has been organized in five parts with several appendices. The five parts deal with:

(a) Records Office Organization;

(b) Subject Classification Operations;

(c) Name Classification Operations;

(d) File Room Operations; and

(e) An Efficiency and Operational Audit.

(3) It should be consulted in conjunction with other handbooks in the Paperwork Management Series and especially:

(a) Subject Classification Guide for Housekeeping Records;

(b) Mail Management in Government Departments and Agencies; and

(c) Records Scheduling and Disposal.

2. PAPERWORK MANAGEMENT CONCEPT

(1) Paperwork management is concerned with the framework and technique of producing, processing and handling papers containing various types of written information. In government, papers are the documentary evidence of work accomplished in the past, of present actions, and of projected plans for the future. If the paperwork of an organization is not efficient, this is a sign of inadequate administrative management. The remedy need not be inherent in the content of the paperwork, but rather in the work processes associated with the handling and control of the papers.

(2) Paperwork management may be defined generally as the methodology of a program to control the creation, practical use, maintenance, storage, protection, and disposition or preservation of all forms of paper documents. Therefore, it may be considered as all the currently-used means of recording information for transmission and/or subsequent retrieval, other than those means requiring the use of machines.

(3) Paperwork management has five components:

(a) Correspondence Management;

(b) Directives Management;

(c) Forms Management;

(d) Reports Management; and

(e) Records Management.

3. RECORDS MANAGEMENT CONCEPT

(1) Records management embraces the classification of papers by means of a planned system, the care and custody of papers within a protective cover, the controlled circulation and use of the papers during administrative need, and the final disposition of the papers for destruction or preservation dependent upon their value. The term encompasses the segregation of the papers by pre-determined groupings to permit retrieval and systematic selection for disposal; the receipt, circulation, storage, custody, reference and research services involving administrative and operational processes which also include the planning, organizing, controlling and co-ordinating of staff, space, equipment and supplies.

(2) This handbook will deal with both the organizational and the operational aspects. The organizational aspect will cover such phases as centralized versus decentralized control, staff and staff training, space requirements and layout, and equipment and supplies. The operational aspect will cover standardization of systems, subject and personnel classification techniques and procedures, document processing and file room operations.

4. RESPONSIBILITY FOR RECORDS MANAGEMENT

(1) The responsibility for records management is laid down in the Public Records Order — P.C. 1966-1749, dated September 9, 1966. This Order assigns that responsibility to three areas of management interest:

(a) the Treasury Board;

(b) the Dominion Archivist; and

(c) the Departments.

(2) *The Responsibility of the Treasury Board* is naturally in the area of policy. It issues policy statements and other guidelines aimed at the administrative improvement of records management in the public service, and it may also assess the effectiveness of any department or agency in the records management field. The particular unit of the Treasury Board specifically concerned with this responsibility is the Paperwork Management Adviser.

(3) *The Responsibility of the Dominion Archivist* covers quality control and operational audit of departmen-

tal records management practices, the provision of economical records-centre storage facilities, and the development of records disposition principles and practices. These functions are performed by the Records Management Branch through:

(a) the production of technical handbooks in the Paperwork Management Series;
(b) technical and practical assistance to the departments;
(c) a chain of records centre storage buildings throughout Canada; and
(d) approval or disapproval of records schedule submissions.

But the long term preservation of valuable public records is the more particular function of the Public Records Section of the Historical Branch, Public Archives of Canada.

(4) *The Responsibility of the Departments* is in the areas of records management operations for classification systems, circulation, control, care and custody, information retrieval, and the preparation and application of disposal schedules. The accomplishment of these functions implicitly requires the appointment of a competent and qualified Records Manager.

(5) A secondary document "Guidelines on Records Management" has been issued by the Treasury Board. These guidelines define the major duties and responsibilities of a Records Manager in his two roles of manager and adviser. They detail the duties of both fields and indicate the desirable qualifications for a Records Manager. The guidelines have been reproduced as Appendix "A" to this handbook.

5. IMPORTANCE OF RECORDS MANAGEMENT

(1) Documentary papers are written records kept to obtain and retrieve information when required, and not for the sake of keeping the records. The number and variety of functions of a modern government have created a continuing requirement for all kinds of administrative, legal, fiscal and informational data. Literally, all government operations are conducted by means of a mass of these papers, which are eventually poured into containers known as "files". In their turn, the files contain the information required to account to Parliament and to the public for the government activities. They will cover such matters as revenues and expenditures, the rights of the private citizen, the rights of employees, the results of scientific research, and the past experience which is often used as the starting point for future planning and decisions.

(2) It would be impossible for government to carry on without these paper records. The servicing staffs in the records offices are responsible for the administration,

control, custody and preservation of these instruments of management. However, the responsibility does not begin and end with the custodians. Executives and administrators need the facts contained in the records and they may need them quickly. Accordingly, they must recognize that the management of the records should be under the control of one other administrator — the Records Manager — and that, if the Records Manager is competent and qualified, interference in his sphere will promote confusion.

(3) While it is important that records be handled with maximum speed and accuracy, and while no effort should be spared in adopting methods which will make filing and finding faster, there is also the question of costs. Up to the beginning of this century, record-making and record-keeping — and the costs thereof — were controlled by simple factors. Writing and copying by hand were laborious (and probably inaccurate) with the result that the number of records to retain on file was small. The later advent of the modern reproductive machines has made it possible to create records at will for the information of many without limitation on quantity relative to the time required to produce them. The volume of papers that pours out of these machines has facilitated the conduct of business but has added considerably to the costs. These costs are not so much in the actual volume production of the records as in the space and equipment required to store them and in the salaries of the staffs required to service them.

(4) It must be appreciated, therefore, that it is essential that efforts be made to keep down the costs of record-making and keeping. It may be well to stress the importance of records; it may be well to emphasize speed and accuracy in records handling; it may be well to say that the records office must provide this quick accurate service for the least possible cost. But the question remains how these objectives are to be achieved.

(5) Certainly, they will not be achieved by having the files cluttered with redundant material (non-record papers), by hoarding every piece of paper that happens to flow into the records offices, by applying haphazard classification systems, by using unsuitable and outmoded equipment. The problem of the classification of records is especially important and often complex. The view that filing the records is simple may be true for the physical act, but the determination of the correct file for the records is somewhat more than simple. The best way whereby the proper objectives of a records office will be reached successfully is through a planned records management program.

6. AIM OF A RECORDS MANAGEMENT PROGRAM

There are several component parts to a good records management program. Some are:

(a) the control of unnecessary record material, i.e.

non-record papers;

(b) the classification of proper record material;

(c) the operational servicing of proper record material;

(d) the operational maintenance of proper record material;

(e) the regular transfer of dormant record material to low-cost storage; and

(f) the wise selection of record material either for disposal or preservation.

7. COMBINED PAPERWORK–RECORDS MANAGEMENT CONCEPT

In the minds of many, there is a question as to the boundaries between paperwork management and records management. Some feel that they are the same; others contend that one is subordinate to the other. Whatever view is entertained, someone has put the proposition in a way which seems to take in both contentions:

"A management information system is a communication process in which data are recorded and processed for command and management purposes. Problems are isolated for higher level decision-making and information is fed back to appropriate managers. This implies the gathering, transmitting, storing, collating and disseminating of information in a form designed to be of maximum assistance to management".

BASIC OPERATIONS OF A RECORDS MANAGEMENT PROGRAM

CLASSIFICATION OPERATIONS

MAIL and MESSENGER OPERATIONS

To & From POST OFFICE

RECORDS MANAGER

FILES OPERATIONS

DISPOSAL OPERATIONS

Direct Transfers

Reference

Service

Direct Destruction

PUBLIC ARCHIVES

Transfer

RECORDS CENTRE

Destroy

DESTROY
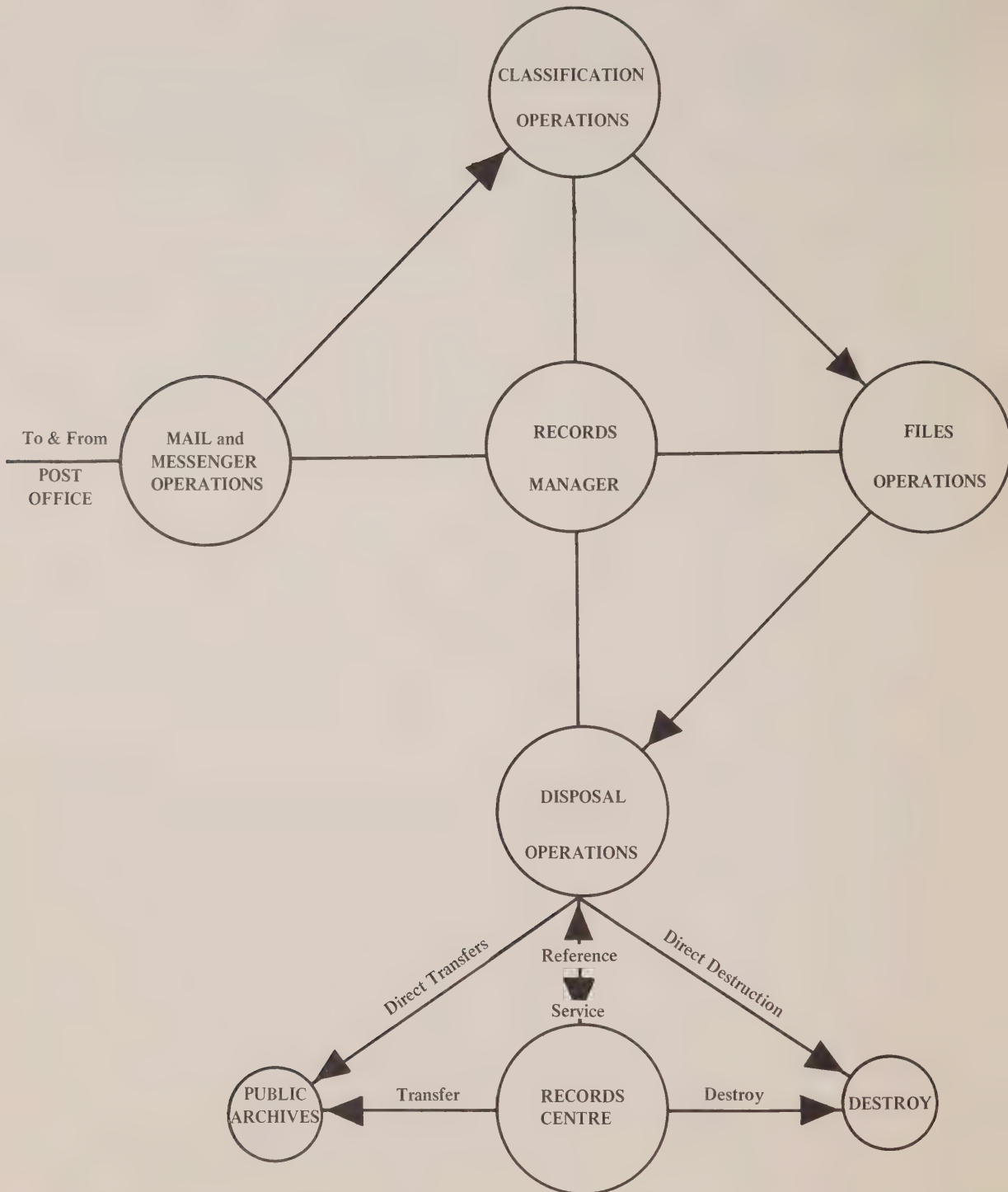
RECORDS OFFICE ORGANIZATION

1. CENTRALIZATION VERSUS DECENTRALIZATION

(1) The debate about the merits of centralization as opposed to decentralization has been going on for many years. This question can be a study in itself but, in brief, there is general agreement that, beyond the point where one central file system does not adequately serve an organization, there should be decentralization with centralized control. In other words, in a large organization such as a government department, there should be a central records office to control the records management program but this central records office need not necessarily house all the records in a central location.

(2) Central development of policy procedures and operating methods is important but so is the physical location of the current records. An attempt to bring all current records of several functions or of several offices of one function, when these are located some distance apart from each other, into one central records holding area may have disastrous results. Each major unit which is substantially autonomous in its operations needs its records closely situated to it for efficient discharge of its responsibilities. Non-current records, on the other hand, can be grouped together without too great disadvantage.

(3) The device of detached records may be achieved in one of two ways at least. One is by placing the official records on permanent charge to an office but subject to recall by the records office. This would be very suitable for a small volume of files. It also tends to eliminate completely any duplication in the office so serviced and this becomes an additional advantage. The second way is to detach with the official files one or two records office staff members to service the files. This is in effect the establishment of a sub-records office system. In either of these two ways, the central control remains with the central records office.

(4) The responsibility for the management of the records should be placed under one officer — the Records Manager. Where this has not been clearly set out, the result has been failure to find important records, disorder of system, confusion of storage and final neglect. The finances, the communications, the equipment and supplies, the space requirements of an organization are normally placed under the charge of one official but the number of locations for these operations and services does not obstruct the maintenance of control by a central source of authority. The same philosophy can apply to the records.

2. CENTRALIZED CONTROL

(1) Thus, while there are points for argument in the centralization — decentralization question, the best solution is that of centralized control. The advantages or disadvantages will vary from department to department dependent on the work functions and the physical arrangement of the particular department.

(2) Centralized control will result in savings in costs. It will reduce the cost of the time expended in the filing and reference service based on a standard classification and procedural system as opposed to the alternative of a disorganized or illogically conceived classification system applied without standard procedural methods. The records will be complete and thereby produced on demand more easily. Changes in the staff will not detract from the ability to find the records since the servicing staff will be trained in the centralized control procedures. Standardization of system, equipment and supplies used — such as forms — will be another cost reduction. The savings in space by the prevention of duplicate sets of records will be substantial.

(3) Centralized control means the control from one location (office) of four components — the records system, the records staff, the allocated space for the records offices, and the records equipment and supplies. These will govern the classification, use, care, custody and final disposition of the records. When there is effective centralized control, then the physical decentralization of the files to their most servicable location is both possible and practical.

(4) With centralized control, the locations of the records offices in their relation to the other departmental offices must be given careful consideration. There is no rigid criterion for the best choice, but in high buildings the main records office should be situated as centrally as possible with the sub-records offices placed at suitable floors above and below: however, there is no need for a sub-office on every floor. For a low, spread-out building, again the main records office should be situated centrally, but in this case the sub-offices may be assigned one to each floor where this plan is an advantage and desirable for best records service.

(5) When control is not centralized, responsibility is divided among personnel of different offices and they will have differing ideas. Thus, each assumes the task of classification, of operational handling, and of operational procedures with the result that retrieval will be hindered. Further, this situation tends towards duplication and adds a mass of paper which merely aggravates the problem of finding the records when they are required. Later, there is

CENTRALIZED CONTROL CONCEPT

CENTRALIZED
CONTROL

Uniform Policy Direction
Uniform Classification
Uniform Procedural Practices
Uniform File Descriptions
Uniform File Operations
Uniform Scheduling & Disposal Standards
Centralized Mail Operations
Centralized Messenger Services

OFFICIAL HEADQUARTERS & FIELD RECORDS OFFICES & SUB—OFFICES
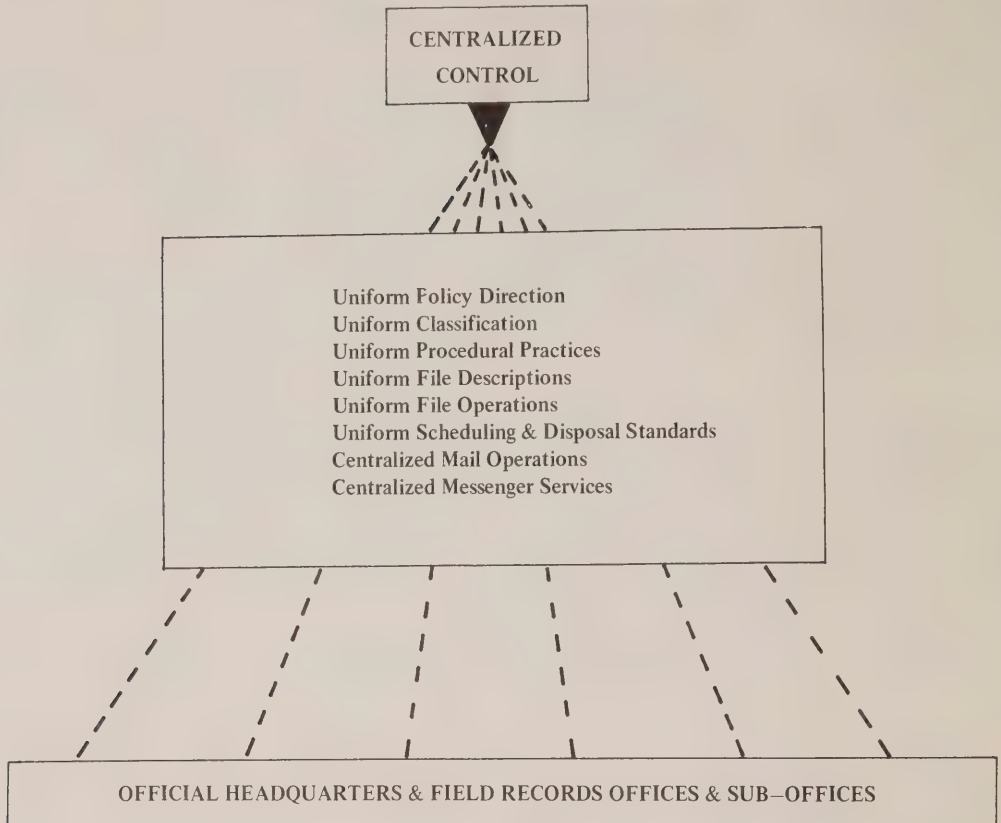
an increased problem in disposal activities for useless material in an unnecessary quantity.

(6) A centralized control system does not mean the entire elimination of all facets of centralization. The concept will still permit a satisfactory physical centralization of the mail room and messenger services, the dormant storage and the records scheduling and disposal functions.

3. RECORDS MANAGEMENT REQUISITES

(1) In addition to the centralized control approach, the requisites for good records management will also include:

(a) top management support within the department and the definite assignment of responsibility with authority to a competently qualified Records Manager;

(b) the definite assignment of operational responsi-

bility with authority to his subordinate supervisors by the Records Manager for the conduct of the program in their special functions;

(c) effective operational methods and procedures in the handling of the records regardless of their physical location;

(d) adequate staff, properly trained;

(e) adequate space and lay-out;

(f) adequate equipment and supplies; and

(g) a technically sound manual of operations for all units of the records office.

(2) These requisites impose certain necessary criteria:

(a) a logical plan for the subject classification scheme so that the files meet the needs of the users within an established framework;

(b) an assurance that the file titles (captions) are properly descriptive under the subject classification scheme;

(c) an assurance that the contents of the files remain coherent to their original descriptive titles;

(d) the establishment of two indices at least for the subject files created:

    (i) a numeric index control constantly maintained in a flexible form,

    (ii) a relative subject index constantly maintained in a flexible form;

(e) if required, a cross-reference index to objective organizations, locations, items and things subordinate to the governing subjects;

(f) a name index for individuals and commercial firms, associations, etc.;

(g) a comprehensive routing plan so that the files and papers are forwarded to the proper actioning offices;

(h) a file room operation so organized that the files are produced on demand;

(i) a file charge-out system which will provide accurate information of the location of the files in use;

(j) a "Bring Forward" (B.F.) system for future action on files and papers;

(k) an active system for transfer of dormant files to low cost storage;

(l) an active system of records scheduling and disposal; and

(m) an active system for amending, revising, and maintaining an office manual of records operations giving a detailed description of all the various phases of the work of the records office and/or its sub-offices.

(3) The classification, control, circulation, accessibility and retrieval of information becomes easier and more efficient when:

(a) the method of arranging the classification system is kept as simple as possible;

(b) the method of maintaining the classification system with its supporting indices is kept as simple as possible;

(c) the method of control, care, custody of the files and papers is kept as simple as possible;

(d) all individuals concerned with the use of the system understand and respect the system's principles; and

(e) *there is no interference with the personnel servicing the system, which must not be permitted to come under the influence of the vagaries of other personnel uninformed in records management principles.*

4. THE RECORDS MANAGER'S RESPONSIBILITIES

(1) The Treasury Board Information Bulletin No. 1968-2, dated April 8, 1968, (Guidelines on Records Management) has been mentioned previously. It sets down the responsibilities and the qualifications for a Records Manager. However, he must be provided with adequate staff and facilities to carry out these duties. His whole function will need to be organized into specialized sections on the following general lines:

(a) a mail and messenger section;

(b) a subject and name file classification section;

(c) a typing unit;

(d) a file room section;

(e) a dormant records transfer section;

(f) a records scheduling and disposal section; and

(g) sub-records offices as required or necessary.

(2) Where the records management operation fails to meet the desired standard of quality, the causes of failure are probably due to some of the several faults which may be found in any office. There may be faulty organization with a lack of dialogue and co-operation between units of the records office or between the records office and the users of the records. There may be no logical plan for the arrangement of the records or for the procedures of the office itself. There may be a misconception of the functions of the records office on the part of many administrative personnel who may interfere with the system without possessing the least knowledge of it. They may have an initial and unfortunate predication that "FILING IS EASY" with no intelligent foundation for this erroneous opinion. There may be deficiencies in the allotted space, in the equipment and supplies. At worst, the Records Manager may be unqualified, leading to:

(a) a poorly trained records staff;

(b) a lack of good public relations with the records users; and

(c) a neglect of the true function of the records office which should be a continuing efficient and satisfactory service to the organization.

(3) The Records Manager will be required to institute certain managerial processes. He should have or should produce organization charts which indicate the various duties and lines of authority to and within the records office's sections with information on position numbers, classifications and other details. He should delegate certain responsibilities and authority to his immediate assistant and to the section supervisors. He must co-ordinate all developments within his office through regular visits to each section or each sub-records office, through a reporting system, through meetings with his supervisors and through discussions with the user officers of the department.

(4) The reporting system should include daily reports on staff strengths as well as monthly reports indicating statistical data and items of interest. A regular conference with his supervisors is most desirable to give

them an incentive and opportunity of contributing to the overall planning of the records operations. The Records Manager is obligated to report downwards to his supervisors also. One important means of doing this is to disseminate policy activity in records management through the adequate distribution of such documents as Orders in Council, Treasury Board Directives and Information Bulletins, and other guidelines.

(5)　Discussions with the user officers of the department provide opportunities to become aware of and so plan for new departmental programs as these may affect the records operations. This practice will often cope with situations as they arise and before they become major problems. One way to attain this goal and at the same time to get top management support is through the establishment of a Departmental Records Committee composed of senior representatives from the Administration, Financial and Legal Divisions as a basis. This committee will benefit the Records Manager and the officials themselves as they appreciate and deal with the varying aspects of records management.

(6)　The overall organizational aim is to build up an establishment which will meet the challenge and furnish the means of attaining a superior level of quality in all the requisites of good records management. Illustration No. 3 shows the basic organization for the operation of a records office and this is equally fundamental for a sub-records office or a field records office.

5.　STAFF — THE ROLE OF THE RECORDS MANAGER

(1)　The staff of a records office will influence its efficiency and its operational effectiveness. While it must be adequate in numbers, it must be more so in quality. While the department must assume some responsibility if the calibre of the records staff is inferior, the major share of the blame for such a situation lies with the Records Manager. He must ensure that he exercises his normal opportunities for selecting and assessing staff prior to their final acceptance. He must not hesitate to release those individuals who fail to measure up to accepted standards of work performance. He must possess the integrity and courage to undertake the distasteful task of making unbiased recommendations in the full knowledge that an adverse recommendation is for the good of all including the rejected potential staff member.

(2)　The Records Manager will find that perforce he must give a great deal of attention to other staffing matters. He must see that he has provided for sufficient but not excessive staff requirements. Where a records office is under-staffed, there will be much criticism of poor service, but with excessive staff numbers the criticism will be that of wasteful extravagance.

(3)　When an acceptable balance of staff numbers has been determined, the statements of duties for all the positions must be developed and issued. These are required for justification of the positions on the establishment and for the instruction of the staff members to show their role in the organization.

(4)　The Records Manager must be familiar with the specifications for the classes applicable to records personnel. He will ensure that the establishment provides for the appropriate classifications and will recommend, justify and pursue reclassification actions which are warranted. At the same time, he should keep his staff informed of opportunities within and without the department itself, and encourage them to prepare for such new opportunities.

(5)　The Records Manager must keep up morale constantly, taking steps to maintain a fair attitude, proper working conditions, and efficient methods and procedures. Proper discipline is a part of morale. Where discipline is allowed to become lax, certain types of employees may take advantage of this situation and perhaps become problem cases. Habits of good dress, neatness and deportment must be encouraged. The junior staff is not expected to wear expensive clothes, but some suitable standard of dress and demeanour must be set and maintained.

(6)　Work standards must be developed and set down as standard working guides. However, it is not enough to set standards unless they are maintained and the staff informed that they should be met as a working norm. Where an organization is well run with each staff member assigned his own responsibility and work quota, the staff will soon come to appreciate the opportunity of improving their careers in an orderly atmosphere.

6.　STAFF — THE WORKING SUPERVISOR

(1)　Records management working policies are determined by the Records Manager. The direction of the complete program stems from his office with the line of operating production going down to the working supervisors of sections of the organization. Their application of sound principles of supervision and working techniques will decide whether the records machinery is going to be efficient or ineffectual.

(2)　The working supervisor will spend a greater proportion of his time in the daily supervision of the section for which he is responsible. In this task, he may be assisted by lower grade supervisors who oversee the direct performance of particular operations. It follows that the working supervisor will find that part of his daily duties includes a degree of managerial skill in co-ordination activity. A fairly comprehensive list of the duties expected

BASIC OPERATIONAL COMPONENTS FOR A RECORDS OFFICE

OPERATIONS
SUPERVISOR

CLASSIFICATION SECTION

FILE ROOM SECTION

MAIL ROOM and
MESSENGER SERVICES

SUBJECT CLASSIFICATION & INDICES

File Number References to
Papers.
Routing papers.
Creating New Files.
Notations for Indices.
File & Papers Inspection.
File & File Series
Revision.
Research Inquiries.
Scheduling & Disposal.

FILES and DOCUMENTS PROCESSES

Sorting Files & Papers.
Filing Files.
Filing Papers to Files.
Filing Papers to Cabinets,
or Shelving.
Audit Checks of Cabinets—
Shelving.
Charge-out of Files.
Creating New File Volumes.

PERSONNEL INDEX

Index References to Papers.
Routing Papers.
Creating New Files.
Notations for Indices.
Files & Papers Inspection.
Research Inquiries.
Scheduling & Disposal.

CHARGE–OUT CONTROL PROCESSES

Processing File Passes.
Processing Bring Forward
Actions.
File Charge-out Actions.
File Charge-out Look-up
Actions.
Temporary Docket Creation
and Record Maintenance
(If system applicable).

TYPING

Typing New File Jackets.
Typing Relative and Cross-
reference Indices.
Typing Alphabetic Indices.

COUNTER SERVICÉ

File Charge-out Requests.
File Charge-out Look-up
Requests.
Telephone Inquiries.

of a supervisor covers:

(a) planning the work;
(b) assigning the jobs to be done;
(c) assigning the workers to the jobs;
(d) assisting the workers;
(e) evaluating the workers;
(f) inspecting the work done;
(g) maintaining morale and an orderly office;
(h) co-operating with other supervisors; and
(i) keeping superiors informed of progress.

(3) The supervisor has responsibility to maintain two kinds of communication - upward and downward. One of the elements of reporting to his superior is the factual information on the work done. It is relatively simple to complete a daily report. It will include the performance of each employee showing the volume assigned and completed, segregated into its several types. These daily reports will then be consolidated into monthly returns. They can help to substantiate a request for additional staff or equipment when the facts support the case. Such written reports may be supplemented by oral discussions or at formal staff meetings on a scheduled basis.

(4) The responsibility to report down to the employee is just as implicit. Workers will perform better and show more enthusiasm when policies and decisions have been explained to them. Keeping employees informed will develop teamwork and raise morale by instilling interest. The informed worker will acquire pride in his work and the supervisor will be rewarded by an increase in suggestions for improvement in the current practices.

(5) The primary responsibility of the supervisor is to obtain adequate production from the employees under his direction. Therefore, he must be able to assess work production for the varied operations through the evolution and application of work standards. With these aids he will know who is producing a good day's work and who is not. In this way, weaknesses will come to light.

(6) Other attributes include insight to decide when a problem should be solved by the supervisor himself, and when it should be referred to the higher level of the Records Manager. A good memory, initiative, resourcefulness and great attention to detail are additional assets.

7. STAFF SELECTION

(1) A systematic subject classification plan for the records combined with orderly methods and procedures serves three purposes:

(a) it controls the records in current use;
(b) it enables the records to be found quickly when needed; and

(c) it raises the production level in the areas of classification, filing, control, retrieval, and disposition of the records.

But for these ideals to be maintained, a careful choice of personnel is a first step.

(2) Staff must be selected carefully because they will be handling the real assets of the department – the records: these have been the seeds and the harvest and remain as the stock in trade of the administrator. There are several ways to learn about staff applicants, such as application forms, tests, references, educational achievements, but all of these are normally outside the jurisdiction of the supervisor in government staffing procedures. However, there is another medium left which is the initial interview of the applicant referred to fill a staff vacancy.

(3) The interview with a potential employee will be conducted in different ways according to the level for which the employee is being interviewed. But in general, the purpose and scope of the department should be briefly outlined and this should be followed by a more detailed description of the immediate office functions and of the particular job therein. These opening topics will be expanded into questions to which the supervisor should expect much more than "yes" or "no" answers. During the interview, the supervisor will be getting an opportunity to assess the applicant and to decide whether he will likely become an asset to the office.

(4) Supervisors should not accept new staff merely because they are presented to them. The rejection of unsuitable or low quality employees will accomplish two things. First, the staff level standard will be raised and secondly the personnel office will come to recognize that poor quality staff cannot be sloughed off on the records office. Any unfortunate initial choice can be corrected later through the probationary report system.

(5) At the close of the interview, the supervisor will come to some decision that the applicant possesses or has the potential to develop certain qualities. The fundamental requirement in records staff is a good basic education coupled with the type of mind that shows a tendency towards accuracy, flexibility, speed, courtesy, neatness and manual dexterity.

(6) *Absolute accuracy* is the essential element for records work. This quality is most desirable because it is so difficult to check the work accuracy. The correctness of the bookkeeper's entries can be verified without too many complications. The typist's errors are caught at the moment of reading. But when a records clerk mis-files a document, the error may not be detected simply because the document is no longer in view. So the error remains unknown – and may never be known – unless that

document is suddenly required and cannot be produced from its proper file or its proper station in a file cabinet or shelf. This means a hunt through file after file or cabinet after cabinet or shelf until the missing papers are located while valuable time is being lost during the search.

(7) *Flexibility:* many situations arise where a simple rule of thumb will not determine the name or the subject under which a document should be filed. This means that the worker must develop flexibility of mind to acquire logical reasoning power, sound judgment and much informational background. This quality will be attained through practical experience.

(8) *Speed* is an acquired skill. Yet it is expected that the records clerk will be more than usually rapid in his work even though he is still expected to maintain his accuracy. Speed in itself is meaningless unless it is accompanied by accuracy. This entails a mind quick to note details, to read names or numbers at a glance or scan.

(9) *Courtesy* must be exercised. The records clerk must not be categorically positive in making statements which will cause unnecessary antagonism. When requests are received to do something which is clearly unreasonable or which is contrary to the standard operating procedures, it is better to say that it will be done if possible than to say that it cannot be done at all. On the other hand, positiveness in giving out information is desirable when this is based on accurate knowledge. Records staff must bear in mind that they are part of a service unit, and, as such, they must try to provide the best possible service.

(10) *Neatness* of habit and neatness of mind are reflections of one another. The records clerk must be neat not only in appearance but also in his operational activities. The appearance of the office and the files is the outward advertisement of the efficiency of that office. The untidy mind never fails to generate confusion around it, and conversely confusion eventually causes a mind to become untidy in its thought processes.

(11) *Dexterity:* more than average manual dexterity is needed to develop speed in the handling of records in their various shapes — files, loose papers, bulky reports and completed forms.

8. STAFF TRAINING

(1) The fact that the records office happens to be an excellent training ground in an organization is not yet fully realised. But some large commercial firms are recognizing this fact and have taken advantage of the facilities of their records offices. New employees are required to spend a period of training there regardless of the special function for which they have been engaged. No other office gives a more compact view of the complete activity and the various operational details. As a highlight on this point, J. Edwin Holmstrom, Ph.D., in his book "Facts, Files and Action in Business and Public Affairs" expresses the view:

> "What better bird's eye view of an organization, and apprenticeship to the conduct of affairs, than the daily examining and integrating of papers in which policy is being planned and executed? "

(2) Staff training is an integral part of daily operations. New staff must be properly trained on the job and their potential developed for a career in the records office, and, it may be, later in other offices of the department and the government service generally. The records clerk will be expected to learn and perform progressively all the duties in a records office.

(3) *Orientation:* the first step in a training program will have already been taken during the interview with the new employee. This will be extended by providing information about annual and sick leave, attendance rules and benefits, rest periods, suggestion awards, and the services rendered by the personnel division. Organization charts can be used to good effect. The departmental chart should be discussed and the special place of the records office within the department pointed out. Then the records office chart should be explained to show the relationship of the sections of the office. This will get the new employee off to a more meaningful start. A second review of these charts well before the end of the probationary period will provide a good follow-up. Later, "on-the-job" training becomes the responsibility of the immediate supervisor supplemented by procedures manuals and other printed media. Encouragement should also be given to attend related courses which will advance the employee in technical areas of the work.

(4) *On the Job Training* will develop skills and promote better practices in work performance. This training should be planned so that the new employee will become instilled with job interest and personal pride in a job well done. During the initial training period, it is essential to keep track of the types and frequency of errors made so that corrective action can be taken. This procedure may reveal that there is a fault in the system rather than a fault in the operator. Allied to a training program is quality control and this can be maintained by the statistical sampling method just as effectively as by a complete step-by-step inspection process.

(5) *Training Sequences:* a logical sequence of progressive steps is possible by organizing the program so that the following principles are applied:

(a) DO NOT train a new employee to put material into the records initially;

TRAINING OF RECORDS PERSONNEL...

-to broaden their perspective

-to increase their knowledge of sound practices

-to improve their skills

-to keep them abreast of
improvements in machines,
equipment, materials,
and methods

HOW TO CLASSIFY
AND FILE
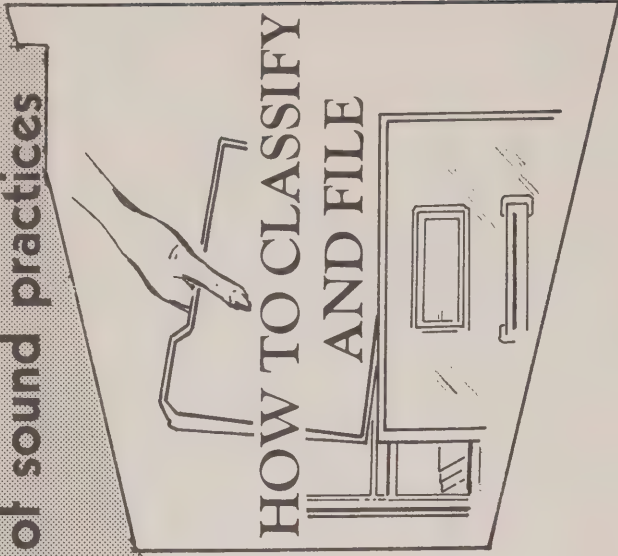
(b)   DO train instead to remove from the records;

(c)   ALWAYS train towards accuracy;

(d)   Complement accuracy by training towards speed;

(e)   Create job interest by rotation training to different aspects of records management; and

(f)   Orient all training towards a final intensive period on the subject classification, index and code methods.

(6) *First Routine – Number Recognition:* the first step is to allow the trainee to become familiar with the numbers of the subject classification scheme. This may be done by assigning tasks which permit withdrawal actions ONLY. Such items as a request or requisition for a file by its number will come under this category of work. This familiarization will be found to be a good preface to the work-check method described below.

(7) *Second Routine – Number Sorting:* the sorting of files by their numbers should be the next step. While performing the sorting routine, the employee is learning correct number sequences by observation and repetition. The sorting of files will be followed by the sorting of loose documents by their file reference numbers. These routines will not affect the accuracy of the filed records since this process can be checked before the filing begins.

(8) *Third Routine – Filing Check Method:* the filing assignments should be given by one selected group of numbers restricted to one area of filing containers (cabinets or shelving). A method of close follow-up must be planned and put into effect. The employee will file the records – papers, files, cards, etc. – on end to project out and above the top of the other records in the container. The work may thus be identified easily and checked for accuracy, and no errors will be allowed to occur. After the work has been checked, it is a simple matter to place the records into their container properly whether it be a file cabinet, a file folder, a file shelving system, or a card index drawer. Any incorrect material will be drawn to the employee's notice and the error explained. This check method will be discontinued as soon as the employee is trained to perform with the required accuracy.

(9) *Fourth Routine – Simple Subject Identification:* this training phase should be undertaken by a senior classifier. He will explain and direct the proper choice for the subject classification, indexing and coding of papers. He must start with the most routine and simple papers, and ask the trainee what he considers the main primary topic in the text of the papers. The next step will be to show how to select the correct file class by choosing the proper classification group, and then the correct classification group primary subject number with its subject title to fit the case. The third step will be to decide whether the general file or a more specific file subject under the chosen classification primary subject number is the more appropriate and accurate file for the subject concerned. Other training steps will consist of the use of the relative subject index or the cross-reference code index as appropriate. Throughout the process, the senior classifier will check each classification, index or code choice and explain clearly any reason why a change or modification may be necessary.

(10) *Fifth Routine – Complex Subject Identification:* as the skill of the employee increases, papers of a complex nature will be dealt with progressively over a longer period of time than that expended for the simple type papers. In all circumstances, the trainee must be impressed with the need to read complex papers more carefully to attain an accurate understanding of the real content of the papers. He must be warned especially of the possibility that the marginal subject heading of the text may be misleading because these headings are often inaccurate to the true sense. As he acquires practice and experience, the trainee classifier will come to scan accurately with intelligent comprehension, and careful reading will not be so necessary. After several weeks, it will have become apparent what the special qualities of the trainee are. From this observation, a decision will be made as to the potential of the trainee whether he will grow into a superior subject classifier or whether he will be more proficient and productive in routine subject or name classification only.

(11) *Sixth Routine – Subject Classification Revision:* as the competent employee develops further, training in more advanced techniques will be extended to cover the subject inspection of files and papers, then the revision of a small group of related files, then the revision of a large file series when these actions arise and are imposed unavoidably through departmental functional changes of a minor nature. The final phase would be to apply changes to certain areas of the entire subject classification scheme due to current major re-alignments within the department or organizational restructuring both within and without. Since the department will not remain static, the subject classification plan cannot be permitted to remain static or rigid.

(12) *Seventh Routine – Questionnaire Tests:* the supervisor can check periodically on all phases of training progress by devising quick tests of the "True or False" type. Such tests can be compiled by definite compartments of the work. All training should be oriented towards these objectives:

(a)   to increase the appreciation of the part that the records play in the successful operation of the whole department;

(b)   to bring out the latent skills of accuracy, speed, flexibility and dexterity;

(c)   to encourage the realization that methods and

procedures can be improved upon; and

(d) to widen the employee's knowledge by developing self-reliance and a desire for self-improvement.

9. WORK STANDARDS

(1) Work standards can be established for clerical operations through work measurement and they should be developed for the records office. Standards can be used to assess the finding efficiency of the records system as well as the work of the records personnel. One acceptable error factor in records work has been given as one in five hundred records filed. When the error factor exceeds this suggested norm, the reasons for this should be sought. When the error factor reaches from 2 per cent to 3 per cent, then something is wrong in the system and must be discovered. An error percentage can be arrived at by dividing the number of references or requests NOT found by the number of references or requests located. To find the activity ratio, the total number of references or requests may be divided by the number of documents filed.

(2) Work standards assist both senior management and the Records Manager in that:

(a) they may effect cost reduction through actual staff reduction or through increasing the work volume handled without a staff increase;

(b) they provide a method of effecting an equitable work load distribution;

(c) they facilitate standardization of methods;

(d) they provide a means of detecting deviations from the standard procedures instead of an audit examination in detail;

(e) they are a means of assessing and controlling work load fluctuations;

(f) they provide a guide by which the work quality of the staff may be assessed;

(g) they provide a yardstick by which increased staff requirements may be justified since two factors can be seen and evaluated:
(i) the volume of the work performed, and
(ii) the time taken to process this volume;

(h) they will reveal whether the training program needs to be developed further;

(i) they will provide aims which both the working supervisor and his staff can strive to reach consistently, and frequently to emulate;

(j) they can encourage morale through constructive rivalry between staff members and staff units;

(k) they will assist in proving that accommodation and/or equipment and supplies are adequate or not adequate; and

(l) they will be one supporting factor in arriving at the cost of maintaining a file station.

(3) While the supervisor is responsible for ensuring that his staff reaches and maintains the work standards as they are set, he may find it necessary to amend them to meet some local situation or condition. But, in general, the data from which the standards will be evolved will include:

(a) a tabulated daily volume figure of the work done;

(b) the production figures for each record operation;

(c) the production figures for each employee;

(d) the production figures for each operating section;

(e) the type of procedure followed in the work flow;

(f) the number of research requests fulfilled; and

(g) any other production influences relevant to any one operation.

Some leeway should be allowed for with reference to supervision time, specific training procedures, annual and sick leave periods, telephone inquiry time, and extended research time. Trial standards should be tested at peak periods to arrive at true values.

10. WORK PRODUCTION VARIABLES

(1) *The work standards of one organization cannot be transplanted to another nor can records production figures be used for all and sundry records offices on a standardized outlook.* Systems, methods and procedures can differ and conditions may be dissimilar. But within one area where standard operating procedures are set, this uniformity will be related to and reflected in the production figures. However, there are variables which affect the operations and they must be taken into consideration.

(2) *The File Classification Variable:* alphabetic and simple numeric sequential files are easy to classify and index, e.g. staff or company name files and contract number files. A Terminal Digit file system for long numbers is faster to operate than a numeric sequential file. Anglo- or Franco-names are easier to handle than Sino-name files. Subject classification files will be in a range from simple-routine to difficult-complex dependent among other things on the amount of scanning required and the efficiency of the related indices.

(3) *The File Equipment Variable:* shelf-file equipment is considered faster than file cabinet installations but top and bottom shelf reference frequency activity may slow down the operating rate. Motorized or rotary files provide fast reference facilities. Another variable is the matter of security protection and handling arrangements imposed on security classified records.

(4) *The File Jacket Variable:* labelling the file jackets by means of a bulletin typewriter is faster than by

hand or rubber stamp printing of the file numbers. The heavy inked and large-size characters of the bulletin typewriter increase production in all phases of file handling with the added advantage of easier readability by all users. Production is highest when there are individual name files and when no file jacket is permitted to contain more than two hundred folios, i.e. an average thickness of about one inch.

(5)   *The File Guide Variable:* when there are too few or too many file guides, production will be adversely affected. Maximum production will be obtained with the number of guides restricted to:

(a)   1 guide to 5-10 file jackets for ACTIVE files;
(b)   1 guide to 10-25 file jackets for DORMANT files; and
(c)   1 guide to 25-50 reference cards in indices.

(6)   *The Sorting Variable:* when records are handled in any pre-sorted method and manual or mechanical sorting devices are used, the production figures will be increased. The addition of colour, where justified, also speeds up the sorting operation.

(7)   *Papers Attachment Variable:* filing papers loose is obviously faster than the fastening of them into file jackets. The "Buildemup" paper spike fastener is much faster than the "acco-press" binder type fastener in a ratio for one action of:

(a)   "Buildemup" Brass-head Two Prong Fastener 3.28 seconds; and
(b)   "Acco-type" Green Metal Paper Fastener 15.46 seconds.

(8)   *Working Conditions Variable:* the condition of the working area, proper lighting facilities, proper equipment and supplies, and a state of high employee morale will affect the production figures with good or bad results.

(9)   *The Effect on the Employee Variable:* work standards properly used will have an effect on the employee. As well as giving the supervisor a yardstick which will measure output, production standards assist the individual employee in his output. When he has been given a challenge, he will strive to meet it and often try to exceed it.

11. SPACE AND LAY–OUT

(1)   Space is an expensive commodity and must be utilized to its full capacity. It is also something which is not flexible. Therefore, the Records Manager must plan both office lay-out and work-flow procedures so that the greatest use can be made of the space allotted to the records office. Several basic principles on space and lay-out have already

been dealt with in the handbook "Mail Management in Government Departments and Agencies". Another publication which will give excellent guidance is the "Manual of Office Lay-out" issued by the Public Service Commission.

(2)   Lay-out should follow the channels of the work flow so that movement and transmission distance between work areas is at a minimum. Records Managers should review work procedures periodically and bear in mind that any major change must be reflected in the work flow plan and if relevant in the office lay-out.

(3)   Space requirements are generally based on obvious factors such as the number of staff, the volume of the records, adequate sorting work areas, the type of equipment used, whether file cabinets or modular shelving units, and the need for some private office space. The efficient use of space and a realistic records scheduling and disposal program will do much towards gaining and retaining the confidence of officials charged with space administration and allocation. But the Records Manager must ensure that the records office is allotted sufficient and acceptable space.

(4)   There is no justification for the many dark and dirty dormant storage areas usually located in some basement room or hall. If the dormant records are not used to any extent, they should be scheduled for destruction or transferred to a Records Centre during the interim retention period. If they are used frequently enough to require nearby storage for a definite period, then there is no reason why the storage rooms should not be adequately lighted, the walls, floors and ceilings cleaned and painted, and proper filing containers provided so that the files can be neatly arranged for ease of reference.

(5)   Records offices should be located near elevators since they are not only storage but clearing houses. The mail and messenger section should be assigned an area near both freight elevators and freight entrances. Mechanical devices, even including a simple dumb waiter, should be installed in new office buildings to permit fast vertical flow of mail and files.

(6)   Counter service areas must be provided. Swing type gates should lead to the office and solid doors to the exit. This provides a waiting place for customer service and discourages visitors and customers from disturbing the staff and the work processes. Where outside corridors permit, the use of dutch-door type counters or sliding-roll type shutters at the counter will accomplish the same purpose and also save office space. This, of course, will result in the customer standing in the corridor but it releases the office space for more effective use.

(7)   Lighting and colour are other considerations.

Adequate lighting is usually provided but colour schemes which have a proven beneficial effect on employee morale are often disregarded. Lighter colour shades are preferable to dark since they reflect light and also present a cleaner, neater and more cheerful appearance.

(8)   Individual offices should be discouraged except for the Records Manager and the supervisors of large staffs where planning or problems must be discussed. Such private offices should be equipped with clear glass for the upper panels to facilitate supervision.

(9)   Supervisors should insist upon neatness and cleanliness in the offices and records areas. Notices and bulletins should be placed on official bulletin boards and not affixed haphazardly to walls or doors. Files should not be left lying about unnecessarily. Surplus furniture and equipment should be disposed of immediately since these items serve no purpose, occupy space and become a repository for odds and ends.

12.   EQUIPMENT AND SUPPLIES

(1)   Without the proper tools, a records office cannot do a proper job. Antiquated equipment, machines, furniture and supplies produce a poor product. Here again the Records Manager can make his influence felt. He must be aware of the administrative arrangements involved in the purchasing function and take prior steps to have sufficient money provided in the departmental financial vote. Contracts are usually let through the tender system (where National Standing Offers do not exist) involving delay, while certain items require authorization by other agencies.

(2)   The Records Manager must keep abreast of new office systems and new equipment items which may be superior to those which he is currently using (e.g. through the Canadian Government Demonstration Centre). There are various mechanical aids which range from simple sorting units to motorized card indices capable of holding and processing thousands of cards. He should inspect the equipment from time to time and arrange for necessary servicing or replacement. Work production and staff morale are affected when equipment needs repairs and nothing is done about the matter.

(3)   Mobile equipment is of value in such sections as the mail room and the active file rooms. Often mail, files, publications, and papers are processed at one table and are required to be moved to some other flat surface. This imposes tedious and slow handling. A quite simple solution of affixing heavy duty castors to the table will allow the easy movement of the complete work load with dispatch. This illustrates that solutions to labour problems need not be elaborate.

(4)   Colour in equipment will have the same beneficial results as colour in accommodation. In the past, equipment has been a dark, drab colour, which is monotonous and depressing. Index cabinets and other equipment such as the new modular shelf filing units can be produced in bright shades and perform the same function.

(5)   *Open Shelf Filing Units:* this is the acceptable alternative to the older style file cabinet as the primary storing unit for files and papers. In the Government of Canada, a special application of the principles of open shelf filing has been devised and produced in quantity. This equipment is known as modular shelf filing. Its great advantage over the normal file cabinet is the saving of floor space and therefore in money. The expected objection that dust will accumulate on the files may have some foundation in older buildings but is practically unfounded for the conditions in modern buildings which are more dust free. The difficulty of reading shelf guides can be circumvented by typing the information on the guides in vertical style, e.g.

```
2                        J
4          or            O
7                        N
                         E
                         S.
```

(6)   *File Cabinets:* the four-five drawer metal file cabinet has been used for nearly a hundred years. Many attempts have been made to devise other storage means for files with a view to greater utility. These devices strive for improvement in economy of space, labour and time in the servicing of files and the file users. However, few have succeeded in excelling the basic storage function of the file cabinet. One special advantage is that the top provides a built-in working surface during the filing operations at the closest proximity to the file drawers. Where file cabinets are used, they may be arranged in rows with the aisle separation for the rows facing each other only from 36 up to 42 inches. This will allow for the extension of one of the file drawers: it is not necessary to allow for the extension of both facing file drawers since they need not be opened at the same time.

(7)   *Post-Index Cabinet:* this is a metal card-index cabinet which is used for the numerical, subject classification and alphabetic-name indices. It holds various sizes of index cards in movable trays. In the case of name indices, the 5 inches x 3 inches card will prove large enough for a satisfactory operation. In subject classification indices the card size of 6 inches x 4 inches is the most convenient and flexible size: the card size of 8 inches x 5 inches should only be used where this large size is a peculiar requirement. The cabinet is equipped with several drawers — normally five — with removable trays of the required size within the drawers placed at right angles to the cabinet front, so that the cards face towards the desk for easy reference. In a

TYPES OF PANEL INDICES
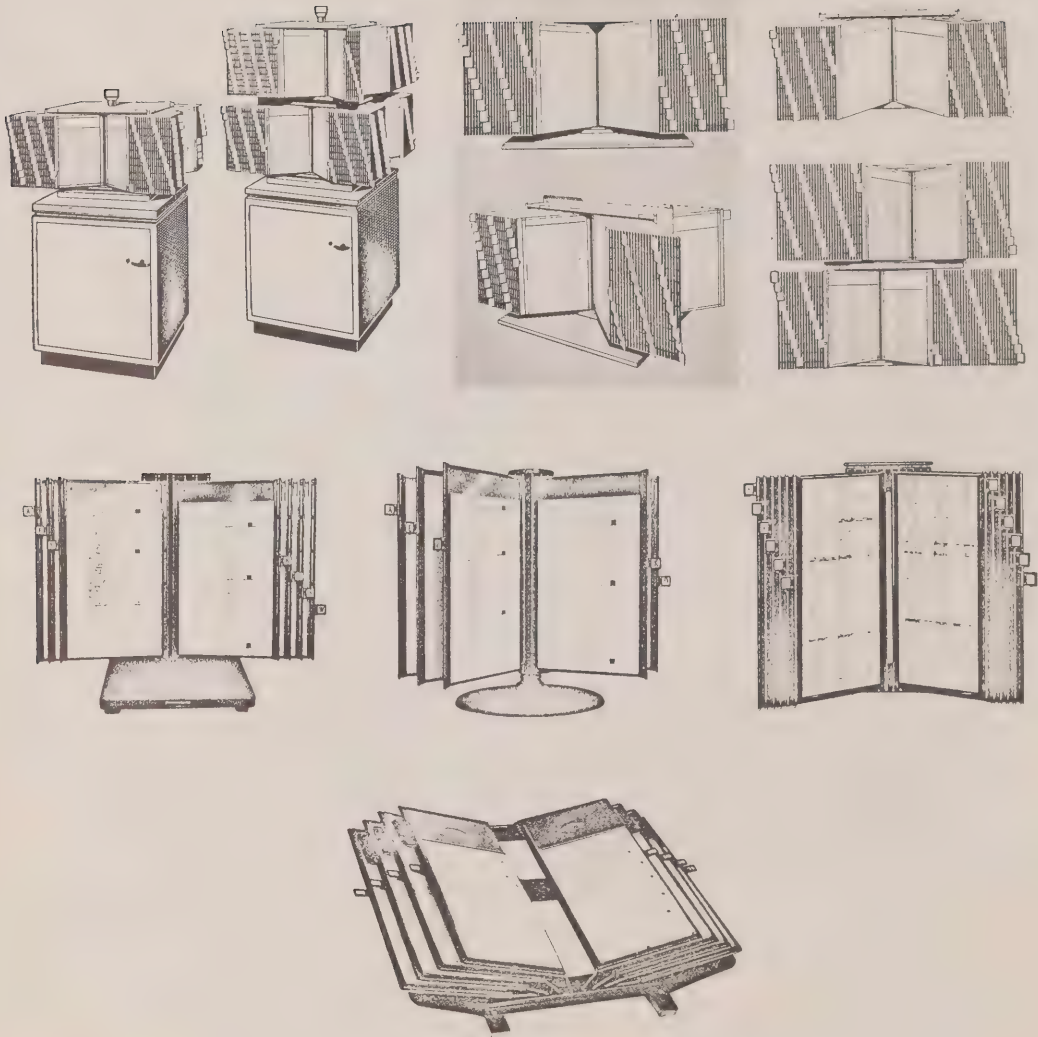
small records office, it is capable of containing all the index requirements both for the subject and name indices. The most active working drawers will be those at or near the desk top level. The top drawer may be reserved for the name indices while the lowest drawer can be used for inactive or obsolete cards withdrawn from the current cards and retained for a definite retention period before disposal. Suitable guide tabulations must be provided and these will be organized in relation to the subject classification scheme or for the alphabetic name-index cards.

(8) *Visible Leaf Panel Index:* this index equipment is a system whereby strips are mounted on panels at or on the desk top level. It provides greater flexibility than the post-index card system since a single entry may be inserted, or removed, or a revised amendment made on one strip. Its best application is for a numerical index control and it can show a larger concentration of entries because two panel sides may be viewed at once. It is capable of separating a large complex subject classification scheme into small isolated components which may be allotted as a special work range for individual subject classifiers. Some types of panels are shown in Illustration No. 5.

(9) *File Jackets* are the official containers for the records of the department and will be required in quantity. They should not be made available to any office other than the records office and its sub-offices. Other departmental offices which find a need for an equivalent device should be supplied with plain manilla folders. A records form standardization committee has been proceeding with the task of developing and setting standards for all the forms used in a records office. The file jacket is the first result of its work.

(10) *Other Equipments* which are necessary in a records office will include such items as:

(a) an electric paper drill where volume justifies this machine;
(b) otherwise a supply of manual paper punches;
(c) an electric stapler where volume justifies this machine;
(d) otherwise a supply of manual staplers;
(e) brass metal paper spikes in sizes and quantity;
(f) sorting tables;
(g) sorting units;
(h) desk-trays;
(i) scissors;
(j) paper cutters;
(k) bulletin typewriters;
(l) standard typewriters;
(m) step stools;
(n) short step ladders where modular shelf units are installed;
(o) counter-service form dispensers.

(11) *Other Forms* of various types will be required. They will include:

(a) charge-out cards or charge-out holders (see Illustrations Nos. 23 and 22);
(b) file requisitions;
(c) file passes;
(d) bring forward notifications (see Illustration No. 27);
(e) closed volume file sheets (see Illustration No. 29);
(f) file classification and index information forms;
(g) other records forms devised for the specific departmental records program.

(12) Records Managers have been given the responsibility of certifying that requests for purchases of conventional file cabinets meet the requirements for private offices and/or security file cabinets as directed by the Treasury Board Management Improvement Policy MI-7-67 dated December 15, 1967. This Policy Circular is attached as Appendix "E" for easy reference. Aside from the principles outlined in this policy statement, Records Managers should assume responsibility for assessing all requisitions involving records equipment and supplies in a department. They should be capable of evaluating the need and of recommending alternative items which may be more economical or efficient.

(13) Some illustrations of some of the equipments discussed are shown at Illustrations Nos. 5, 6, 7, 8, and 9, while Illustration No. 10 shows another helpful device.

13. SECURITY

(1) The authoritative document on security in the Government of Canada is the publication "Security of Information in the Public Service of Canada, November, 1956". For the purposes of this handbook, some key points on physical security will be merely touched upon for the immediate information of Records Managers and records staffs.

(2) In departments which receive or produce security classified papers, the records office may be organized so that such classified documents are kept and serviced securely in and from one special unit. On the other hand, security needs may be adequately served by particular physical security protective devices and installations, whereby a separate special records office unit is not a requirement.

(3) In any event, it is probable that the Records Manager will be personally responsible for the physical security of his main records office and any sub-records offices. He will be charged with the responsibility of protecting the classified files and papers, with ensuring that
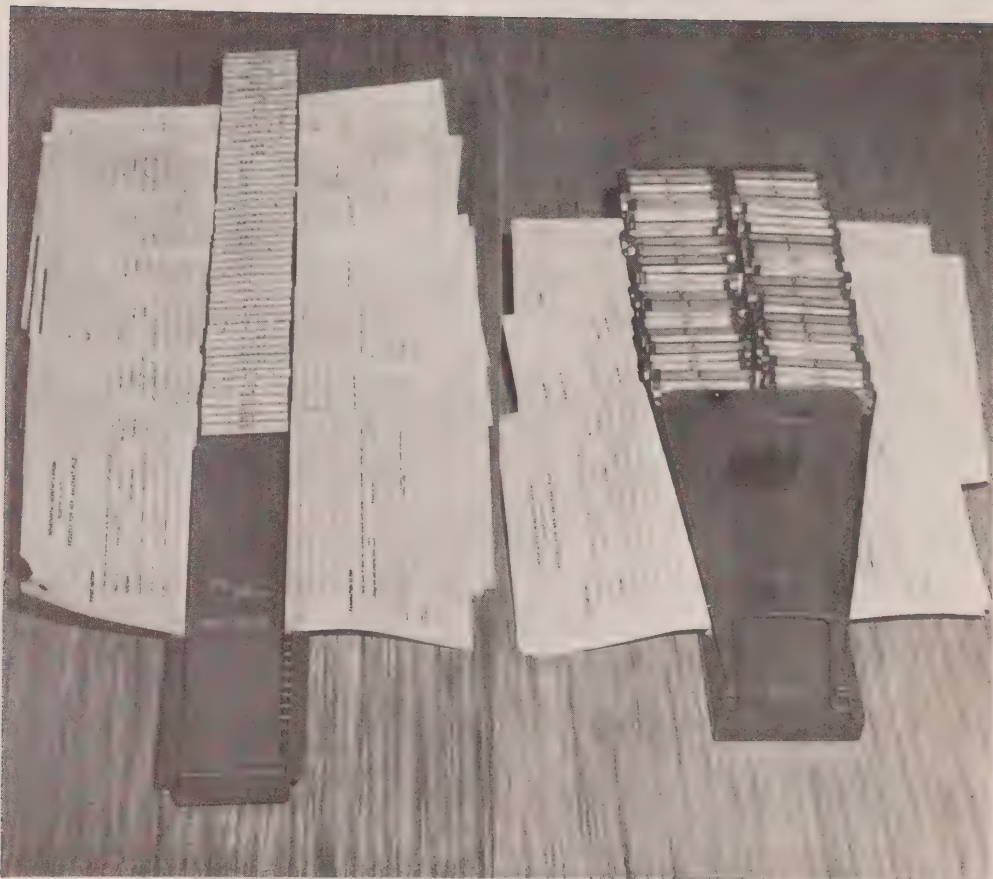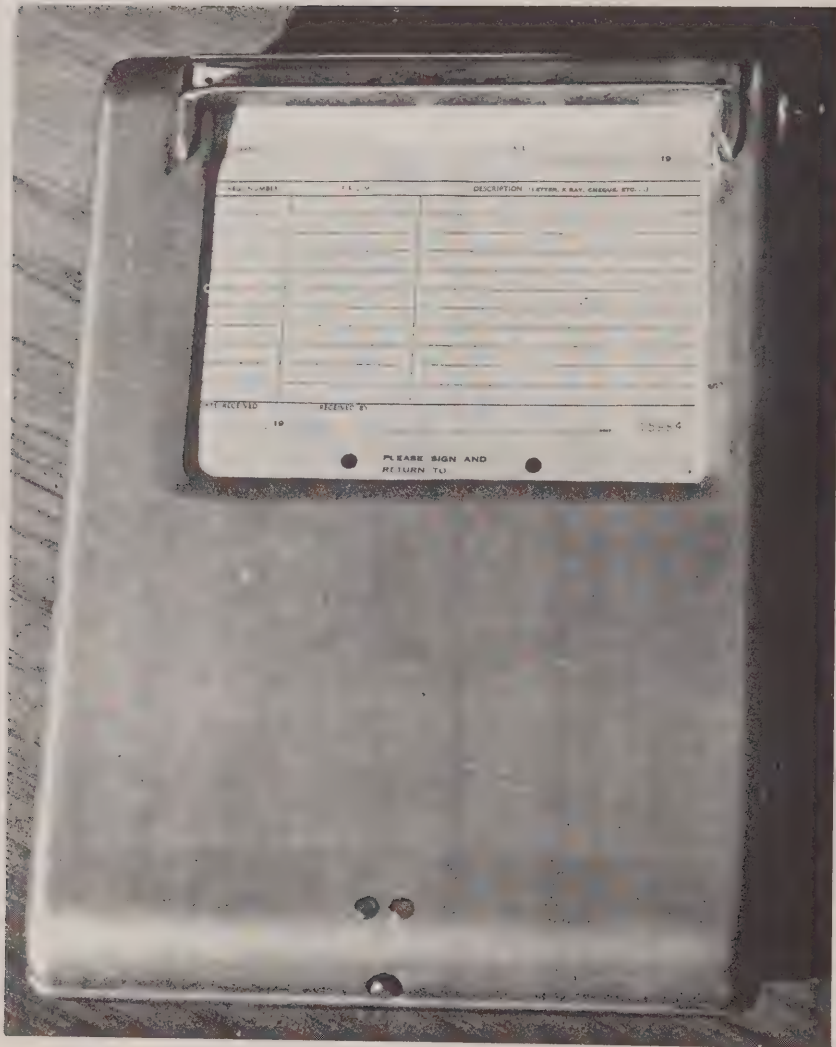
SHELF FILE UNIT

STEP STOOL

SORTING UNITS

COUNTER—SERVICE FORM DISPENSER

LOOSE PAPERS PORTABLE SHELF

personnel who require or have access to classified matter are security-cleared to the appropriate level, with informing records personnel of the need for security and of their part in his responsibility for the overall security of the records office. He will find that he must delegate responsibility to his senior supervisors on this matter of physical security of records.

(4)   Physical security is the means used to give protection to classified information both when in use and when not in use. It can consist of many things -- barred windows, prox-alarm systems, special security cabinets and shells, special locks, and even the posting of guards to supplement the inanimate devices.

(5)   One other aspect of physical security is the adequate and total destruction of such classified information when this stage in its life has been reached. All the several mechanical devices for paper destruction have their own limitations so that the original method - disposal by fire using authorized incinerators – is still most effective. However, it has its drawbacks of messiness and the need of inspection during and after the burning process to ensure that total destruction has occurred.

(6)   The object of physical security is to protect classified matter against compromise. It cannot be maintained unless everyone conscientiously discharges his personal security responsibilities. These require that each person is responsible for his office area. Therefore, each person must make sure that the security integrity of the office has been established before he leaves it for any

reason. To do so, he must ensure that security protection is turned over to another authorized person, or that, alternately, all classified matter is placed in proper locked cabinets for safe custody.

(7)   It is equally important that security information shall never be discussed over the telephone. Just as much precaution must be exercised in a telephone conversation as would be taken in an open room where unauthorized persons may be in the vicinity.

(8)   Any security breaches must be reported by records staff to the Records Manager. He will report further on the circumstances to the Departmental Security Officer. As required by the Security Sub-panel, all departments and agencies must designate their authorized Security Officer.

(9)   To assist in the responsibility of security and to bring awareness of the importance of security to his staff, the Records Manager should arrange for some training on security. This could be arranged with the Departmental Security Officer who could present the reasons and need for security measures. He can point out that there is no separate security regulation for every security problem. The fact that good security is basically the exercise of continual common sense and sound judgment could be made clear. But it could also be emphasized that security responsibility is the duty of each individual whether he handles only restricted information or the higher classes of documents. This brief training program should be given to all records staffs even if they do not handle security papers as a daily routine.

A SOUND CLASSIFICATION AND FILING SYSTEM

ADVANTAGES:

Faster, less-costly service

More useful records

Easier segregation of records for disposition

Better use of personnel

Economical use of equipment and supplies

SUBJECT CLASSIFICATION OPERATIONS

1. SUBJECT FILE CLASSIFICATION

(1)   A subject file is a collection of papers on a specific subject or its specific sub-subjects collated and placed within a single file jacket container. Such files are created under the logical arrangement of a subject classification plan. This explanantion sounds simple enough but the application of these statements is not so simple and indeed can be intricate in practice.

(2)   Classifying records is the act of determining the subject or subjects under which the records are to be numbered, cross-referenced if need be, and filed. The choice of the proper subjects for records is an art because proficiency requires extensive study and knowledge of many factors (and sound judgment in applying this knowledge), some of which will be discussed later. The classification will be the key to the retrieval of information from the records. Many variations of subject classifications will operate successfully, if they are organized in the way the information is accumulated or in the way it will be asked for. But basically, there are only two differentiating patterns – alphabetic and numeric. There may be a third composition of these two basics – an alpha-numeric combination.

(3)   A subject classification will therefore identify, group, codify or standardize the records into fields, classes, types, groups, locations, organizations, or things. On the other hand, an index is a relative reference list of key words or topics which will co-ordinate these fields, classes, types, groups, locations, organizations, or things. A good index will reveal the relationships of subjects not only through the use of cross-references but also through a well-planned classification structure.

(4)   The choice of topic may vary considerably. It may consist of the number of the document only, e.g., a contract; the name of the document itself, e.g., an act by its title; the name of an organization, e.g., a commercial firm; a social insurance number; a person's name. These are, in general, referred to as "CASE FILES". It may consist of the subject content of the document and this is where the difficulty in subject classification arises. Only an acquired practical experience will cope with the difficulty.

(5)   However, where classification by the names of individuals is possible and obviously desirable, such documents, easily identifiable by the names, should not be classified by the numbers of a subject classification plan. In this case, use a name classification with recourse to the simplest method of alphabetizing the names in full without

assigning numbers and thus adding an unnecessary complication.

2. SUBJECT FILE CLASSIFICATION SYSTEMS

(1)   As has just been stated, subject files are collections of related papers. They consist of letters, memoranda, minutes, reports, forms and other material arranged by subject or subject aspect. Basically, there are two categories of subject files:

(a)   administrative records of an internal housekeeping nature; and

(b)   operational records created by a department or agency in carrying out its functional role.

There are, however, several methods of arranging both housekeeping and operational files. These methods of arrangement are referred to as subject file classification systems.

(2)   *A good subject file classification system should be as simple as possible and easy to operate.* Since all departments are concerned with housekeeping records, it is realistic to expect that a relatively simple subject file classification system can be devised which is suitable for a particular department on a broad foundation to account for such groupings as Administration, Finance, Personnel, Buildings, Lands and Properties, Equipment and Supplies, and General Services. It is also realistic to expect that these housekeeping groups can be arranged to fit into a wider scheme which will include the operational file requirements of a total subject file classification scheme. To meet this problem, several alternative arrangements have been proposed and presented in the handbook, "Subject Classification Guide for Housekeeping Records".

(3)   *A good subject file classification system should permit additions and deletions.* There have been and there will continue to be organizational changes in individual departments and for the whole governmental organization. New responsibilities will be added, obsolete responsibilities will be deleted, or more emphasis will be given to some areas, or certain functions will be moved from one department to another. All this organizational mobility will reflect on the subject file classification structure.

(4)   *A good subject file classification system should be logically arranged by groups of related subjects.* This caters to the primary intention of a system — to be an aid in finding the records. It also enables both the file user and the subject classifier to have a ready inventory of all the

records on a given subject. It further enables the transfer of groups of records to sub-records offices within a department or to the records offices of other departments without a major disruption of the original system.

(5) *A good subject file classification system should be effective.* No subject file classification plan should be introduced without adequate initial planning. The plan must be discussed with the user officers. Conversely, the user officers who will have no records management experience will often insist on the adoption of a system which is not practical. However, it is only logical that both the user officers and the Records Manager have their separate responsibilities but the Records Manager is the technician who must plan the arrangement which will work.

(6) *A good subject file classification system should be installed with a view to economy.* Economy of equipment, supplies, staff, space and time should be kept in mind. This does not mean that antiquated equipment or outmoded supplies will be used. The equipment should be modern, in good working order, neat and uniform. It is practical to purchase bulletin typewriters to present easy-to-read file numbers and titles but it is not practical to use expensive file jackets for case files of short term value. Certain types of visible index or sorting equipment will save on time expended by the staff. Where reference to a large card index is considerable, it may be more economical to purchase a motorized card index which can be operated by one classifier than to use the more conventional drawer index equipments which will require a number of staff operators.

(7) *A good subject file classification system will have numerous benefits.* It will be:

(a) *An Aid to Service* - it can result in better, faster, cheaper reference service where complete records are produced quickly;

(b) *An Aid to Research* - it can make research easier and more productive since information is readily available and accessible;

(c) *An Aid to Documentation* - it can mean the proper arrangement of written accounts of facts and events;

(d) *An Aid to Preservation* - it can speed up the identification and segregation of valuable records since selection will be easier;

(e) *An Aid to Disposal* - it can speed up the identification and segregation of records of limited usefulness;

(f) *An Aid to Economy* - it can effect economies when it is applied to the whole organization by mass purchase of uniform equipment and supplies; and

(g) *An Aid to Personnel* - it can permit the transfer of records personnel from one office to another office, wherever situated, without re-training.

3. **INSTALLING A NEW SUBJECT FILE CLASSIFICATION SYSTEM**

(1) When installing a new system for a new organization, the chief problems are the lack of precedents and the lack of existing records. These problems may be alleviated where some units of an existing department have been brought into the new structure. In devising an appropriate system it is first necessary to become familiar with the proposed functions of the organization. Some of this vacuum can be filled by reading the acts and regulations and through discussions with the operating officials. While they will have some knowledge of projected programs, it is possible that even this knowledge will be quite limited at the beginning. Therefore, progress in the operational phases will likely be slow but the uniformity of the housekeeping aspects will permit a start for the normal internal departmental business.

(2) Some of the facts which must be gathered will be found by asking such questions as:

(a) Is the departmental program to be administered at the Headquarters only?
(b) Will field offices also be involved?
(c) If field offices are involved, do any exist or will they be entirely new?
(d) Can an estimate be projected as to the volume of correspondence, reports, and forms which will be expected?
(e) Will the general public be involved?
(f) Will there be valleys and peaks in the work load?
(g) What will be the subject topics which will be dealt with by each and every division?
(h) Will case files be required also, and, if so, in what volume and of what nature?
(i) Will technical or scientific data be involved?
(j) How will the records be used?
(k) How will the records be asked for?
(l) How long will the records be required in general?
(m) What will the probable staff numbers be in each and every division?
(n) Will mass registration be involved — applications, submissions, etc.?

(3) The answers to these questions will aid in the determination of the number of files to be created, the amount of expansion anticipated, the use of geographical, organizational, commodity and other codes as file symbols within the classification plan. The answers will also assist in assessing the staff requirements of the records office and whether seasonal or other peak periods will occur and with

what frequency.

(4)   The answers to questions (g), (h) and (i) will provide some tentative guides to the broad group arrangements for the operational subjects. Since these will develop and expand as time passes and as records begin to accumulate, ample provision for this development and expansion should be made. Some revision and alteration will be inevitable but, where flexibility is provided, the unknown requirements will not present insoluble problems.

4.   REVISION OF EXISTING SYSTEMS

(1)   An existing subject file classification system will require revision when:

(a)   the current system has proven ineffective through neglect or faulty design;
(b)   the departmental activities have increased and a major expansion becomes a necessity;
(c)   new functions have been assigned to the department;
(d)   some functions have been withdrawn; and
(e)   the department undergoes a major organizational change.

At different times and under different circumstances, the necessary revision to an existing system is a recurring problem. The Records Manager must find out the answers listed in the previous paragraph through discussions with the user officers. The task is much easier, however, because he has an accumulation of records on which a new plan may be based.

(2)   A complete inventory of the files in existence should be compiled. This inventory should then be examined to determine whether:

(a)   the files are too general;
(b)   there is a requirement to establish more policy files;
(c)   the files are correctly identified by subject titles;
(d)   the files are still active or are or will become dormant;
(e)   the files are properly grouped within the correct primary subjects and primary numbers of the groups;
(f)   the existing suffix-code numbering system is adequate; or
(g)   a suffix-code numbering system is now required, where none was in existence previously.

(3)   Where it is decided that files are too general, they must be broken down into logical sub-files and appropriate change references made. During this process,

policy files can be established and suitably noted to prevent a reversion to their use as general files.

(4)   A decision must be made whether all existing files should be brought forward into the revised scheme or made dormant up to the current calendar or fiscal year. Both approaches have their own merits but it must be kept in mind that in normal circumstances back reference research will die out within a short period of three to six months. However, if a proper records scheduling and disposal program has been followed, the problem has its own solution. That is, the remaining records will have a value which impels the decision to bring all material forward to the revised system.

(5)   On the other hand, if records scheduling and disposal activity has been neglected, then the exercise gives an excellent opportunity to apply schedules and so remove dormant, worthless and redundant records from the new current file scheme.

(6)   During the exercise, all file classification indices and lists must be suitably amended. An opportunity is also provided to make improvements to the methods and procedures of the indices controls. From the point where the new scheme has been completely established, the new system must be kept under a constant review to ensure that it will prove effective and remain efficient.

5.   FIELD OFFICE CLASSIFICATION SYSTEMS

(1)   Most large departments maintain field establishments. Some are of a strictly administrative nature, some are of a technical or scientific nature, while others may be both types.

(2)   The records maintained within these field establishments should be the functional responsibility of the departmental Records Manager. He may not be responsible for the staffing of the field records offices but he should be responsible for:

(a)   the file classification system, methods and procedures;
(b)   the file room procedures;
(c)   the filing equipment and supplies; and
(d)   records scheduling and disposal procedures.

(3)   The file classification system should be the same as the one in use at the Headquarters with appropriate modifications for field use. This facilitates the classification operation by both organizations and maintains uniformity in correspondence, forms, filing, etc. It provides an opportunity for the Records Manager to train field records staff by correcting and explaining, if and when necessary, the assigned file reference numbers and suffix symbols. It is a great advantage and help to the user officers who may be

posted to and from the Headquarters and field offices.

(4)   While the Records Manager with his experience in a broader field is able to advise field records staff, it will be found that the larger problems and greater complexities of the Headquarters do not exist to the same extent in the field offices. However, in extending the file classification plan to the field offices, it is essential that the Records Manager visit some of these offices both large and small. The purpose of these visits will be of an exploratory nature and they will afford an opportunity to become familiar with local influences and to assess the type and amount of documentary material which is being handled. For operational assistance, a task force from the Headquarters records office can then be established. Its task will be to assist in the installation of the uniform system and at the same time train the field office staff in efficient operations.

It may only be necessary to visit the regional or district offices and then these in turn may extend the program to their subordinate offices.

6.   THE CLASSIFICATION PROBLEM – CONTROL OF NON–RECORD MATERIAL

(1)   In exercising control over non-record material, the Records Manager will perform a very useful function in preventing the filing of unnecessary papers in the form of extra copies or other non-record material. This is important because the extent to which there is control will affect a proportion of the work involved in putting the remaining parts of successful classification practices into full effect. Because filing action has been indicated on papers by the user offices, the classifier may feel obligated to file the non-record material found in such papers. While it is normal that the administrator will decide what papers should be retained and filed as records, frequently great masses of records are created without too much thought being given to the actual need to file all of it as of record value. Here are some examples of areas where records volume can be reduced effectively.

(2)   *Advertisements,   Periodicals:*   Advertising literature and periodicals are received daily in quantity and are often referred later to the records office for filing. These items should be listed by the classifier and their value discussed with the user officers to decide what ought to be retained. The decision should be put into the form of a written instruction which will be based on such factors as:

(a)   keep the current issue only;
(b)   keep "X" copies only;
(c)   give circulation and then destroy;
(d)   remove the recipient's name from a mailing list; or
(e)   file only the pages of interest or record value.

(3)   *Circulars and Directives:* One copy only is required for the subject file. If it is desired to maintain a secondary supporting consecutive file, a definite retention period should be established, such as six months.

(4)   *Routine Requests   Departmental:* Routine requests for information between departmental offices should be answered by placing the reply at the bottom of the request in the form of a "minute". It is not necessary to produce a second piece of paper in the form of a memorandum in many cases.

(5)   *Routine Requests   Public:* The Records Manager should introduce a system of returning to the sender letters of requests for routine information, for copies of publications or forms instead of the answers being in the form of a reply letter.

(6)   *Transmittal Memoranda:* The use of the "Action Request" form will eliminate the need for memoranda when transmitting routine materials.

(7)   *Form Letters:* Where form letters are used, the original letter of request can be returned with the form letter answer. However, if the original letter must be filed, note on this the number of the form letter reply, the date sent and any other pertinent information.

(8)   *Identical Letters:* Where several identical letters are being dispatched, and the same file is used, only one file copy is required. This copy will show that "similar letters were sent to . . . . " with the names and addresses listed.

(9)   *Obsolete Reports and Returns:* Frequently, a requirement for certain reports and returns dies out but no steps are taken to stop the dispatch or receipt of these reports and returns. The Records Manager can draw this to the attention of the responsible offices.

(10)   *Crutch or Diary Files:* Records Managers should discourage the use of "crutch" files, i.e. files containing chronological letter copies, by the user offices. When the classification system is efficient, crutch files are not required and when the official files are decentralized physically near to the user offices, crutch files are an inexcusable waste. The use of crutch files is expensive and it tends to replace the official files which often then become incomplete with breaks in the official record.

(11)   *Central Administrative Records:* The official records of administrative offices should be available to operating offices. For example, operating offices often maintain field establishments for which they are also administratively responsible. The operating office will keep, or try to keep, copies of administrative matters affecting their field establishments. Such operating offices need to know and should have access to administrative information

MUST WE FILE ALL THESE?

Publications

Other information

Incoming Information

Reports

Directives

Letters

Memoranda

Forms

Information Created in the Office

Main file copy

Author file copy

Reader file copy

Office A copy

Office B copy

Office C copy

Office D copy
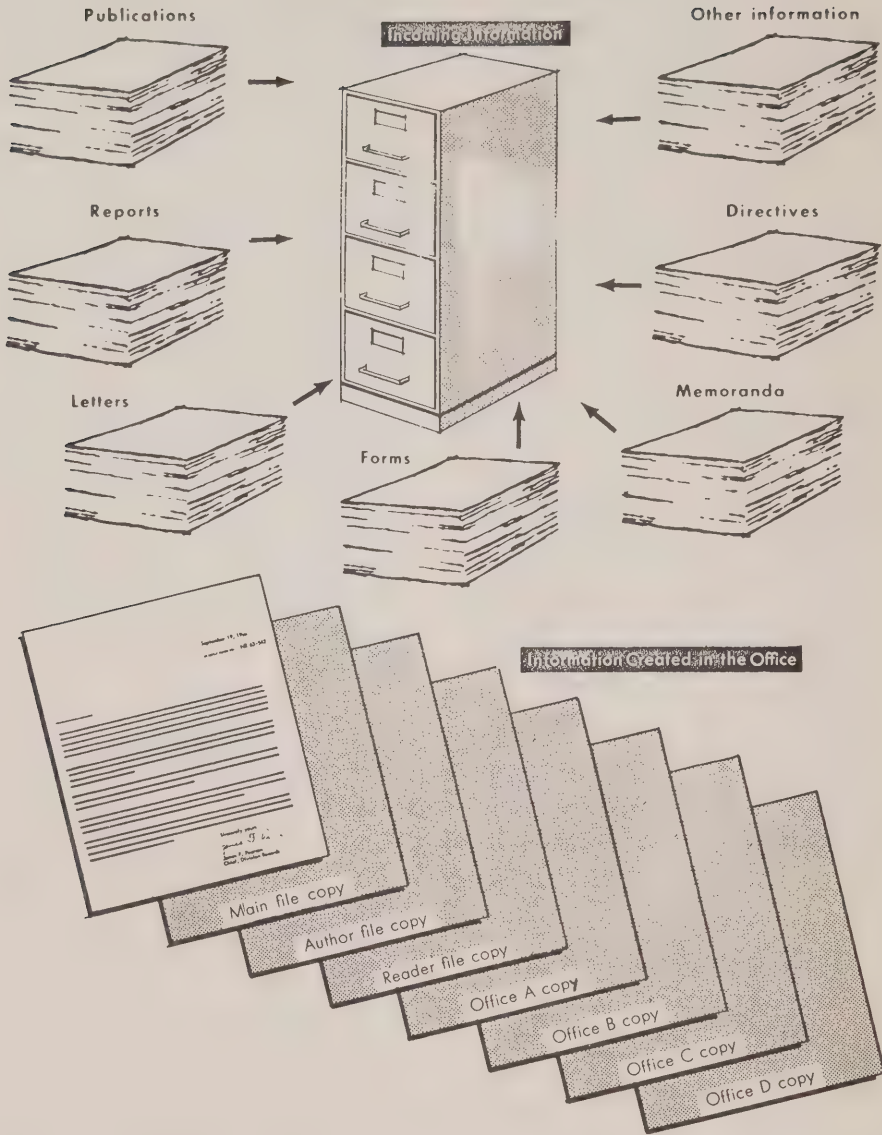
WAYS TO PREVENT NEEDLESS COPIES

but they should use the administrative files. This will also eliminate duplicate records making and keeping.

(12) *Action Requests Forms:* This form has an entry "P.A. on File" meaning "Put Away on File". Unfortunately, classifiers neglect to remove these forms from the papers to which they are attached. Their accumulation on files can grow at an astonishing rate. They should not be filed.

(13) These are some examples of areas over which the Records Manager and the classifiers can exercise control to prevent the accumulation of unnecessary duplicate or redundant records on the files. Senior management can be convinced by practical illustration that it is poor correspondence management. The Records Manager must remember that volume of records alone is not the criterion for establishing staff, equipment and space requirements. It may be one of several factors to consider, but volume in useless excess usually indicates poor records management.

7. THE CLASSIFICATION PROBLEM – CONTROL OF RECORD MATERIAL

(1) The diversity of functions in a department, the organizational complexity of its structure, the number of personnel under its jurisdiction and the technical, scientific or operational peculiarities of its activities all combine to make the records management program a challenge which must be met and solved. The main key to a successful records management operation is the subject classification system. In the small department, the problem will not be so great as in a large department where the variety of subjects dealt with is likely to be greater. The volume of the records handled will not change their use although it may affect the speed with which action is handled and completed. A good subject classification system will increase the output of every office and raise the effective production of the officials who rely on the records for their necessary information prior to action.

(2) The handbook "Mail Management in Government Departments and Agencies" is intended as a guide for the standard handling of mail. The handbook "Records Scheduling and Disposal" is to provide a similar standard medium by which the records are scheduled, retained or disposed of. The handbook "Subject Classification Guide for Housekeeping Records" is to provide a third medium by which the housekeeping records may be classified under a system and it also allows for the development of operational subject classification. A system adopted as a standard assists in attaining uniformity, efficiency and economy.

(3) Records, as with property and other tangibles, should be used and then disposed of according to their value. Some become obsolete and lose their utility; others

have permanent value and must be retained. Systematic disposal of the temporary records economizes on floor space and equipment, and contributes to the prime purpose for maintaining records – find when and where required.

(4) In large departments with a wide range and volume of papers to be classified, indexed, and/or coded, it will be advisable to divide the classification operations into separate segments. These segments will be assigned to several classifiers by pre-determined groups of the classification system. A rotation method should also be established.

(5) There are several prerequisites for success in proper subject classification activity. They include:

(a) a thorough knowledge of departmental programs;
(b) a thorough knowledge of departmental structure designed to carry out its programs;
(c) a thorough knowledge of the subject classification system and its operational details;
(d) an insight into how the records will be used and asked for;
(e) an analytical mind;
(f) a thorough knowledge of procedural techniques; and
(g) accuracy and consistency on the part of the classifier.

8. THE CLASSIFIER

(1) Papers and their containers – the files require individual and significant reference numbers for subject identification. A classifier is the person who selects the subject of a paper and assigns to it this individual and significant file reference number. He will also determine the subject topics under which the files will be indexed, as they are created, as future finding aids. On occasion, this technique may have to be applied to some individual papers, when their singular importance warrants this unusual treatment. Proficiency in this art will increase by extensive practice. Some people have an inherent faculty to appreciate how the records will be used, how they will be asked for, and thus they will arrange them so that they will be most readily retrieved.

(2) The classifier must be consistent and adhere to the subject classification scheme. He must check related files if he is not fully confident of his initial selection and may even find that discussions with the user officers will call for some minor adjustments of an existing set or series of file topics. Such reviews are normal and prevent the system from deteriorating, as it might do, through neglect.

(3) While it is a decided advantage to have or to develop a retentive memory, it is disastrous to assume

during classification procedures that someone will remember and be able to furnish information accurately when the time for retrieval arrives. Classification must be performed with the constant thought that the operating staff of to-day may not be available in the near future "to remember". As already stated, the volume of the records handled may not change their use, but it may slow down their processing. Therefore, in the area of classification activity, speed with accuracy and consistency is paramount. *The classifier has no time to browse.*

(4) During his development period, the classifier must bear all these points in mind. He must study the contents of the individual files continuously, and so become intimately familiar with the correspondence, reports, forms and other documents which have been placed in them, and relate the files to the overall file classification system.

9. THE SUBJECT SELECTION TECHNIQUE

(1) As an operational guide in choosing the appropriate subject topic for a paper, the following suggested procedure will develop a self-training technique which will prove effective. The steps outlined may not be individual processes: they can be simultaneous mental progressions. The procedure is expanded still further in more detail at paragraph 12 below. Items (a) to (c) are

The Act of Classifying:

(a) read the paper to determine the subject of PRIMARY IMPORTANCE in the text -- with skill, this act of reading will become scanning;

(b) identify and select the broad subject classification group into which the subject of primary importance falls;

(c) consult and select the PRIMARY SUBJECT HEADING AND NUMBER within the broad classification group which fits the subject of primary importance.

Items (d) to (i) are

The Act of Indexing:

(d) determine whether the intent of the text is POLICY or merely GENERAL ROUTINE;

(e) if the intent is POLICY, use the policy file number under the selected Primary Subject Heading and Number;

(f) if the intent is not policy but GENERAL ROUTINE, and definitely not particular, use the general file number under the Primary Subject Heading and Number;

(g) if the content is neither POLICY nor GENERAL ROUTINE, consider and decide what sub-subject of the main Primary Subject Heading has the most appropriate relation;

(h) consult the relative subject indices organized in their relation to the subject classification scheme which will guide to the particular relative sub-subject file title and number; OR,

(i) if no suitable or appropriate file exists as determined from the indices, and therefore the paper is of a NEW particular nature, number the paper for a NEW FILE with the next available sequential number under the selected Primary Subject Heading and Number as found by consulting the NUMERIC INDEX CONTROL, assign the appropriate file title, and have the new file created.

Items (j) and (k) are

The Act of Coding:

(j) OR, if the content of the paper relates to an OBJECTIVE CODE consideration such as a departmental unit, another organization, a particular location, a geographical division, a specific commodity or other object and it is decided that such a particular file is justified, classify under the originally selected Primary Subject Heading and Number to the specific OBJECTIVE CODE SYMBOL for individual identification;

(k) BUT, when this code file does not exist and the paper concerns an OBJECTIVE CODE, select the correct objective code symbol, and have the new file created.

(2) After practice and experience, the classifier will arrive at the stage where "to read" becomes "to scan". When this accelerated process is reached, the complete sense of a text in a document will be absorbed during the scanning with a high degree of accuracy in the choice of the proper subject. Also, after long experience, the classifier will begin to notice and appreciate styles of correspondence writing which will tend to fit into a pattern. These patterns will usually reveal the real subject at a certain point in the format of the correspondence and it will be found that this is normally near the close of the text. The material which precedes this point covers the arguments for or against a line of thought or action culminating near the close with the decision or recommendation contained or summarized in the last one or two paragraphs.

(3) When the classifier has reached this stage, he will be able to scan, comprehend, classify, index, code and so process correspondence with competent skills in accuracy and speed. Many of these processes will become automatic and the majority of the correspondence will be put through without the need to verify because the trained

memory will come into play effectively.

(4) Whether analytical ability is inherent or empirical, the skill of selecting key words or phrases in correspondence is essential to the classifier in his proper file subject and file number selections. However, obscurely written correspondence will be encountered at times. In these cases, it should be considered from the points of view of "Who requested the information contained therein? ", or "Why was it written? ". A reasonable answer will usually be a guide to the subject topic under which the correspondence should be classified and filed.

(5) The marginal subject headings which often appear above the text of some correspondence should be viewed with suspicion. Although these headings are intended to be an aid, often the heading is vague, or misleading, or even far removed from the actual subject content.

(6) For unusual cases, when the subject is so involved that it cannot be definitely determined, the classifier should not hesitate to consult either the dispatching or the receiving office, where a clarification will be forthcoming in most instances. This procedure will assist in other ways:

(a) it will ensure more accurate subject classification and filing;
(b) it will add to the classifier's knowledge so that he will be able to handle further material of a similar nature; and
(c) it will demonstrate to the user that the records office is anxious to give the best possible service on a "personal service" basis if need be.

10. ROUTING OF PAPERS AND FILES BY ABBREVIATION SYMBOLS

(1) While the classifier is performing his classification, indexing and coding of incoming new papers, he will also route the material to the appropriate actioning office at the same time. This should be done by the use of functional-office routing symbols which can be organized by letters and/or numbers identifying each departmental branch, division, or section as deemed necessary. The most suitable method is to use the significant letters in the name of the office which will be easily and logically related to the full name of the functional-office, e.g. DM for the "Office of the Deputy Minister".

(2) This system can be used for the referring of files as well as loose papers both from the records office and between the various offices of a department. It is preferable to and faster than the writing out in full of the name of an office or an individual. It is much more preferable to the use of persons' names because staff

officers may be transferred to some other function — or department — while correspondence addressed to his previous function will continue to arrive. Therefore, a routing system based on the function will be less prone to change as compared to a system based on the names of individuals.

(3) Such a system has additional uses for other organizations in a department which have a distribution operation. Some of these offices will include the Departmental Library, the Information Offices, and, of course, the Mail Room for the routing of direct delivery material or internal circulation of files and papers between different offices.

11. A NUMERIC INDEX CONTROL

(1) This is a listing by numerical sequence of the subject classification groups, of the primary subject heading numbers within each group, and of the sub-subject numbers and file titles created under each primary subject heading number. The complete listing will be in numeric sequence. The listing may be in loose leaf form, in a binder, or as a part of the classification manual itself for small operations. For a large operation, and it is desirable even for a small organization, a card index form is necessary. In any event, the listing will show by their numbers and subject titles all the files in existence under their various classification groups and headings. Any additions, deletions, or amendments must be recorded immediately for proper control purposes.

(2) The card index form may be comparatively simple and economic by the use of 6 inches x 4 inches ruled cards. This will permit a certain amount of flexibility for expansion. Or the system may be organized on panels such as "Linedex" which display numerous file numbers and titles at one time. Illustration No. 14 shows a sample of a numeric index control card which would be arranged and inserted in a complete system after the primary number "3725" and before the primary number "3750", as shown in the handbook "Subject Classification Guide for House-keeping Records". This example has been chosen to demonstrate the paragraph "XI FLEXIBILITY" in that handbook. In this case, the files with a "Records Disposition" aspect are included in this one subject classification number "3740" instead of being segregated between the numbers "3740" and "3741" as they could have been. This also brings out the aspect of paragraph "XII ADDITIONS TO PRIMARY SUBJECT SELECTIONS".

(3) The 6 inches x 4 inches index cards are stored in and used from a post-index cabinet. They give a certain flexibility for insertions and amendments, but they also have their own limitations. For example, in the Illustration No. 14, if it were decided to open a new separate file for a particular survey such as the Public Archives records survey,

A NUMERIC INDEX CONTROL CARD

3740	RECORDS MANAGEMENT – GENERAL SERIES
-0	(Not shown but could be created) Policy
-1	Generally
-2	File Classification System
-3	Personnel Files – Generally
-3-1	Personnel Files – To Other Departments
-3-2	Personnel Files – To P.A.R.C.
-4	Records Surveys
-5	Essential Records
-6	Microfilming of Records
-FO/O	(Not shown but could be created) Field Offices – Generally

the number and title assigned would be "3740-4-1 – RECORDS MANAGEMENT – Public Archives Records Surveys". Note that for the purposes of file titles or index entries it is not necessary to repeat the words "GENERAL SERIES" and that this applies to all primary subject headings so designated in the subject classification handbook. Because the entry for the new file must be inserted in numeric sequence, it will be placed after the "-4" and before the "-5" entries. When a card has two or more such cramped entries, it becomes necessary to retype the card to keep the entries in correct order and in neat appearance.

(4)   As an interim alternative for a lengthy tertiary breakdown of a secondary number, the additional tertiary files could be typed on a separate card. This fact must be indicated on the original numeric index control card by means of an entry opposite the appropriate secondary number, e.g. "* – see separate card breakdown filed immediately behind this card".

(5)   The procedure of retyping a numeric index control in whatever form it is maintained cannot be avoided as a routine which must be performed from time to time. An exception to this is where a panel strip system is used such as "Linedex". This type of equipment permits the insertion of individual entries on separate strips, the removal or amendment of strips but the typing process is still a requirement.

12.   CLASSIFICATION, INDEX, AND CODE CONTROL

(1)   The entry "3740-3" and the other entry "3740-FO/O" will be discussed with respect to their component natures. In the process of reading a paper such as the document "MI-3-68" dealing with personnel staff files, the first decision will be that the textual content concerns the broad primary subject of "RECORDS MANAGEMENT". This decision is the act of "CLASSIFI-CATION". That is, the classifier has comprehended that the document provides information on the particular aspect of personnel files in the area of records management.

(2)   Then the particular aspect of personnel files is considered so that it is obvious that the appropriate file could be "3740-3 – Records Management – Personnel Files – Generally". This is the act of indexing. That is, the classifier has *pointed* to the particular aspect of the primary subject of records management which is the sub-subject of personnel files.

(3)   However, another fact comes up in dealing with this chosen example. The document "MI-3-68" is also a POLICY paper. Therefore, it could have been classified very properly to the number and subject "3740 – Records Management" and then indexed to the sub-number and sub-subject of "-0 – Policy". This serves to illustrate that classifying and indexing is not always a simple process.

Discretion must be exercised for this example and when it is decided that the policy file as well as the specific file should be covered, then both files must be provided with copies of the document. The POLICY FILE, however, will NOT be allowed to cater to the action requirements of the laid down policy. The other sub-subject file concerning personnel files will carry the routine actions arising from the stated policy.

(4)   The "3740-0 — RECORDS MANAGEMENT — Policy" file will also be used for such other policy documents as the Public Records Order and even the document "MI-7-67" dealing with records equipment, i.e. file cabinets and modular shelf filing. Here again, a decision is required. There is no question that this document is policy since it was issued by the Treasury Board, which is a prime policy-making body. But, the document also deals with equipment and may properly have been placed on an equipment and supplies policy file. Both files would contain any other policy papers on equipment including those issued by the department concerned as a policy-making body within its own sphere of influence.

(5)   The last entry shown on Illustration No. 14, "3740-FO/O — RECORDS MANAGEMENT — Field Offices — Generally" illustrates the use of a *code.* This is "FO/O". This word "CODE" should not be misused; it does not mean the "act of classification". This file "3740-FO/O" would be used to conduct any necessary correspondence with a department's field offices arising out of any aspect of records management. It must NOT contain POLICY. As volume of papers increases, this general file can be sub-divided into separate field office coded files. On the other hand, it may never become necessary to break up the Field Offices — Generally file into separate files for each field office simply because there are no papers for each field office or the volume of papers is so small that it would be inadvisable to take the action of separating the papers.

(6)   The entry "3740-5 — RECORDS MANAGE-MENT — Essential Records" will provide an example of the maxim "DO NOT CREATE SPECULATIVE FILES". This means that files must not be created unless or until there are documents for the files. The point discussed at paragraph (5) above is also allied to this maxim. So with the records management aspect of essential records. Many departments are not involved in essential records, therefore a file is not nor will be a requirement. On the other hand, some departments are so involved that their requirement may enlarge to the point where more than one file is a need, for example:

"3740-5 — Records Management — Essential Records" may require to be expanded to provide for subsidiary files, and the first probable need will be a break-down such as

"3740-5   Records Management —
            Essential Records   – Generally
    3740-5-1   – Category 1
    3740-5-2   – Category 2
    3740-5-3   – Category 3".

(7)   These fictitious files illustrate one other important point in the act of classifying, indexing and coding. This is that logic must be used in the process. It would be foolish to number these sub-files in any other way than by assigning the tertiary number "-2" to the Category 2 essential records file, and so on. Yet it is often found that this elementary logic has not been exercised. An example could be where the file numbers assigned to a series of files dealing with forms by their form number bear no relation to the numbers of the forms.

(8)   On the presumption that an expansion of the numeric index control has been made to accommodate several new files, the following examples of two numeric index control cards are shown in Illustration No. 15. The inserted files are indicated with a check mark — " √ ".

(9)   Note that a device is also illustrated on the first sequence card to indicate that another numeric index control card exists as well as the first original. This is the symbol "(1)" at the top right corner. This is added only when the card is filled and another follows for the same primary number, in this case "3740". No number is assigned to the original card nor is this number placed in brackets until a second and other subsequent cards are opened and numbered:

(a)   one group of two cards for one particular primary number would be:
    (i)   card number one completely filled — (1),
    (ii)   card number two not completely filled — 2 ;

(b)   another group of three or four, etc., cards for other particular primary numbers could be:
    (i)   card number one completely filled — (1),
    (ii)   card number two completely filled — (2),
    (iii) card number three completely filled— (3), and
    (iv)   card number four not filled would be 4, without brackets.

13.   A RELATIVE SUBJECT INDEX CONTROL

(1)   An experienced classifier who has a thorough knowledge of the subject classification would need to refer to a relative subject index only at infrequent intervals. Others who are not fully trained would find that they must refer to it frequently not only to choose the correct file for a paper but also to avoid creating new files with synonymous titles.

(2)   The relative subject index is an *index relative to*

**EXAMPLE OF POSSIBLE EXPANSION OF THE INDEX CARD AS SHOWN ON
ILLUSTRATION 14 BY THE NECESSARY INSERTION OF NEW FILES CREATED**

3740   RECORDS MANAGEMENT – GENERAL SERIES   2

  -5   Essential Records – Generally

  -5-1   Essential Records – Category I

  -5-2   Essential Records – Category 2

  -5-3   Essential Records – Category 3

  -6   Microfilming of Records

  -FO/0   Field Offices – Generally

  -FO/1   Field Office – Newfoundland

  -FO/2   Field Office – Nova Scotia

                                                           (1)

3740   RECORDS MANAGEMENT – GENERAL SERIES

  -0   Policy

  -1   Generally

  -2   File Classification System – Generally

  -2-1   Amendments and Revisions to File Classification System

  -2-2   Suffix Coding Groups for File Classification System

  -2-3   (Blank for future use)

  -2-4   "   "

  -3   Personnel Files – Generally

  -3-1   Personnel Files – To Other Departments

  -3-2   Personnel Files – To P.A.R.C.

  -3-3   (Blank for future use)

  -4   Records Surveys – Generally

  -4-1   Public Archives Records Surveys

the subjects of the titles of the files. It is not a cross-reference index which is another supporting finding aid. A relative subject index is a catalogue of the subjects of the files in a records office arranged alphabetically just as it is of books in a library and for the same purpose — *to find.* It is the main interpretative tool and the true memory of a records office.

(3)   The attitude that a relative subject index with other supporting cross-reference indices is not necessary because "It will be remembered" breeds trouble and delay. Confidence reposed in the records system will break down from an inability to produce the requested files on demand when they are asked for by their subjects. While the cost of maintaining a relative subject index — and others — is an important consideration, compare the cost of the small amount of time expended to maintain relative indices for the files as they are created against the more expensive cost involved through time lost in the effort to locate the correct files. Add the cost of time lost by the users requiring the appropriate files for action.

(4)   The cost consideration applies equally to the unorganized system of relying on sheets of listed files which quickly become tattered through constant reference use. A classifier does not have time to browse among lists of file numbers and file titles in the process of classifying, indexing and coding a volume of papers. He must meet a definite work standard to be able to cope with the daily amount of papers which he is expected to process as one part of his overall duties.

(5)   Just as a numeric index control is set up by a consistent method, i.e. by numbers, so a relative subject index must be set up by a consistent method, i.e. by nouns. The least costly equipment to house the relative subject index cards is a post-index cabinet. Both types of indices — numeric and relative subject — can be housed by separate trays and/or separate drawers for reference — separate by numbers and separate by words. The more expensive equipment of visible panels suggested for the numeric index control must not be used for relative subject indices — the complications involved add to the initial costs.

(6)   In addition to the relative subject index cards for the actual file titles, other (cross-reference) index cards may be required and will be an aid under words which are similar or equivalent in their meanings. This expansion must be developed with discreet judgment since too many cross-references confuse apart from the economics of this wasteful production. Illustration No. 16 shows examples of relative subject index cards which give *titles of files* under the words "RECORDS" and "PERSONNEL". The third illustration headed "DOCUMENTS" is a cross-reference.

(7)   It should be noted that the file title entries will not necessarily be in their numeric sequence on relative subject index cards. In a relative subject index, entries are made as the files are created. Random entries are unavoidable. However, the meticulous classifier may wish to re-organize some relative subject index cards from time to time to overcome this feature.

14.   CROSS–REFERENCE METHODS AND INDICES

(1)   There are different ways of making cross-references as finding aids to support a relative subject index. One of these methods has been discussed above. As a further example, consider the word "MANAGEMENT" which will appear in all the file titles of the examples examined. It would be both repetitious and unnecessary to repeat the entries made under "RECORDS" on another card titled "Management". Therefore, a *one-time cross-reference* will suffice, e.g. an entry — "For Records Management see under 'RECORDS'". On this same "Management" card it may be necessary to make other entries referring to other files where the word "Management" has a key significance.

(2)   Variations of the cross-reference activity are:

(a)   a copy of the correspondence may be made and cross-filed to one or more related files, as required or deemed necessary;

(b)   a pre-printed and multi-part cross-reference form may be used on which suitable entries are made;

(c)   other relevant file reference numbers may be quoted beneath the primary file number on the correspondence; and

(d)   an entry on the inside or outside of the cover of the file jacket may be made relative to associated files.

Thus a cross-reference is an entry made or filed under an appropriate vehicle to indicate where the original entry or record to which it refers may be found as well as a guide to other connected topics and files.

(3)   Although the cross-reference procedure must be allied primarily to files in large volume with particular application to general correspondence subject files, the same procedure is as necessary in small establishments. The volume will be smaller but the staff may become prone to rely on memory with adverse effects and results.

(4)   Cross-Reference Rule No. 1

Always cross-reference from the broad overall general aspect to the specific phase of the subjects.

(5)   Cross-Reference Rule No. 2

NOUNS should be used for title words of

RELATIVE SUBJECT INDEX CONTROL CARDS

RECORDS	
Management – Generally	3740-1
– Policy	3740-0
– Personnel Files – Generally	3740-3
– Records Surveys	3740-4
– Personnel Files – To Other Departments	3740-3-1
– Essential Records	3740-5
– Personnel Files – To P.A.R.C.	3740-3-2

PERSONNEL	
Records Management – Personnel Files – Generally	
– To Other Departments	3740-3
– To P.A.R.C.	3740-3-1
	3740-3-2

DOCUMENTS	
Protection of Essential – USE	3740-5
Categories of Essential Records – USE	3740-5

cross-reference index cards.

(6)   Cross-Reference Rule No. 3

When a record can be indexed properly under more than one subject, it should be indexed first by the primary subject which best fits the reference needed. Then, cross-references are made on the chosen medium — copies, forms, file jackets, cards — under the subordinate subjects.

(7)   Cross-Reference Rule No. 4

When a record can be indexed by its specific subject, a cross-reference may be made for the originating source by name BUT ONLY WHEN requests for the record will be made by the name (and date) without knowledge of the subject topic so that finding is impossible unless a cross-reference has been made by the source name.

(8)   Cross-Reference Rule No. 5

When a cross-reference must be made by the originating source name, NO OTHER cross-reference should be made to the subject of the record.

(9)   Illustration Nos. 17 and 18 show examples of cross-reference entries for files created which use specific organized suffix codes. In these two cases, an organization code and a geographic location code have been used. The cards present two ways of setting up the cards: one is by placing the code symbol at the top left corner and the other at the top right corner of the card. The first method will arrange the complete set of that code class by the code numbers or letter sequences, and the second method will arrange the cards in an alphabetic sequence within the specific code class. When entries are made on such cross-reference code cards, no other index entries are required, i.e. NO RELATIVE SUBJECT INDEX entries are made. This is an application of Cross-Reference Rule No. 5.

15.   THE EXAMINATION OF SUBJECT FILES AND PAPERS

(1)   The examination of subject files and subject papers is done before the records are released to the file cabinets or shelf filing units. It is another phase of the act of classifying and indexing records. This operation is performed as verification of the quality of the classifiers and should be done by the classifiers as a post-audit type of control on their own daily job performance. In this way, it will be confirmed at first hand whether they have been consistent and accurate in their handling of the records

received into the system. The procedure will also act as a check on the file number references used by actioning offices on the copies of the outgoing correspondence.

(2)   In a small establishment, this job could be done by the supervisor as a check medium. He will not only be exercising a training check on his staff but he will be able to keep abreast of developments in the organization as these are reflected in the files and papers.

(3)   In general, the process of file and paper examination will cover the following areas:

(a)   ensure that the files are in good physical order and condition;

(b)   check routing references on the file jackets to ensure that all have been properly signed off, i.e. "Put Away" (P.A.), "Bring Forward" (B.F.), or any other actions;

(c)   check that the contents of the files have been correctly classified and indexed;

(d)   ensure that offices have concluded their action fully;

(e)   direct the making of important cross-references if required;

(f)   direct the creation of subordinate subject files if the examination reveals that this has become necessary; and

(g)   ensure that the contents are in their proper order, normally chronologically.

(4)   The general considerations stated apply in most aspects to the examination of loose papers ready for file. In effect, this is the inspection of unrelated papers instead of correlated volumes of relative subject papers which consitute the files.

16.   JOB OPERATING PROCEDURES

Because many of the job operating procedures of classification, indexing and coding are mental processes of a simultaneous nature, and also because most of the steps involved have been explained in narrative form, it is not considered necessary to set down a step-by-step sequence. However, some operating pointers are restated for emphasis:

(a)   adhere to the subject classification scheme with accurate consistency;

(b)   do not create speculative files;

(c)   do not create duplicate subject files by classifications of security;

(d)   ensure that the numeric index control is maintained as EACH NEW SUBJECT FILE IS CREATED;

(e)   ensure that the relative subject and cross-reference indices are maintained and brought up-to-date each day.

AN ORGANIZATION CROSS—REFERENCE

INDEX CODE CARD

FO/T50 FIELD OFFICE — TORONTO, Ontario	
Organization	1001 —
Cafeterias, Canteens, etc.	1115 —
Estimates and Budget	1730 —
Campaigns & Canvassing — General Series	1125 —
— United Appeal	1128 —
— Canada Savings Bonds	1127 —
Equipment and Supplies — Generally	3000 —
Records Management — Generally	3740 —
Records Management — Records Surveys	3740-4 —

A LOCATION CROSS—REFERENCE

INDEX CODE CARD

NOVA SCOTIA	160/2
Acts and Legislation	1020 —
Exhibitions, Displays, Expositions and Fairs	1260 —
Politics — Provincial Elections	1432 —
Personnel — Reports & Returns	2380 —
Communications — Telephone	3567 —
Lands — Acquisition — Generally	2655 —
Warden Services	2480 —
Finance — Accounts & Accounting — Payable — Generally	1510 —

17. WORK STANDARDS — SUBJECT CLASSIFICATION OPERATIONS

(1)   The production variable (File Classification Variable) listed at paragraph 10(2) of Part 1 takes on significance for this standard. The complex aspect applies where the subject classification of papers requires much more than the brief scanning which is all that is necessary for simple subjects of a routine nature.

(2)   Another variable can occur when time is required to make an important cross-reference because of inter-related or of technical, scientific terminology. Such complications impose an added time factor during the choice of the suitable revealing index caption. But where the cross-reference requirement is limited, the output will increase in direct proportion.

(3)   As a comparative guiding standard which was established with all these points considered, one department with very complex as well as the normal routine records has arrived at work standards for its subject classification operations as shown:

(a)   for complex subject material — 30 items per hour; and

(b)   for simple subject material — 50 items per hour.

18. WORK STANDARDS - SUBJECT FILES AND PAPERS EXAMINATION

(1)   A work standard for subject file examination includes the inspection for easily detected infractions of filing or correspondence procedures such as:

(a)   the omission of action on a past due B.F. entry;

(b)   correspondence not acknowledged or answered by the actioning office through some oversight;

(c)   evidence that papers have been removed from file with no reason given or no note where the papers have been placed;

(d)   incomplete circulation of a document to several offices;

(e)   the notation actions required for a future B.F. entry; and

(f)   failure to make proper P.A. notification entries on the file jackets giving the authorized release of the files to the file containers.

(2)   These inspections do not consume too much time on the part of the classifier except for item (c). However, a proper scrutiny of the file subject content will consume more time and therefore two standards could be appropriately set up:

(a)   routine file inspection actions — 65 files per hour; and

(b)   intensive file subject inspection — 30 files per hour.

(3)   A standard for inspection of loose papers for the examination of both the subject relativity and the accuracy of the quoted file number references could be developed. It would include the setting aside of incorrect items for later corrective action which would then come under the work standard for complex classification. The standard could be set at

160 items per hour.

19. JOB DESCRIPTIONS — SUBJECT CLASSIFICATION OPERATIONS

(1)   The following job descriptions are given as examples of the major duties and responsibilities of the functions of subject classification. The scope of these functions may be found in a large department but their content will hold true for any establishment although their particular arrangement may require some condensed alignment to suit the situation. The details are derived from paragraph (a) (iii) under "MANAGERIAL and SUPERVISORY" of "Guidelines on Records Management" at Appendix "A".

(2)   *A Classification Control Officer* will be under the immediate administrative direction of the Records Manager and his duties will be closely related to the centralized control philosophy:

(a)   plan, co-ordinate, control and implement the production, maintenance and application of the subject classification system and its written visible form of a file classification manual;

(b)   maintain a centrally controlled master numeric index;

(c)   maintain a centrally controlled master relative subject index;

(d)   maintain a central control of additions, deletions, revisions, or other changes to the manual and the system;

(e)   develop, produce, control and maintain an abridged manual for the smaller field establishments;

(f)   direct the implementation of the classification system as an operational standard for field establishments' records offices;

(g)   collaborate with senior supervisors of sub-records offices and give guidance in the maintenance of standard operating records management techniques in classification;

(h)   make studies as assigned to determine and correct the source of repeated classification problems and recommend solutions;

(i)   recommend necessary changes to meet new

situations or to improve current methods;

(j) conduct operational audits of headquarters and field records offices and sub-offices.

(3) *A Senior Classifier* will be under the immediate technical direction of the Classification Control Officer. He will:

(a) classify, index, code, and cross-reference difficult material, important and sensitive correspondence or documents such as those reflecting international, national or departmental policy proposals or decisions;

(b) route such material to the correct action offices;

(c) revise files and file series for expansion or amalgamation;

(d) recommend the establishment of new subject headings, new file series, or new files for unique material;

(e) indoctrinate, train and direct classifiers in the receipt, classification, indexing and coding, routing, and verification techniques;

(f) research vague requests for material of a complex nature;

(g) act as supervisor of a sub-records office in the absence of the supervisor.

(4) *A Classifier* will be under the immediate direction of the Senior Classifier. He will:

(a) classify, index, code, and cross-reference material which may be diverse, covering a large variety of documentation;

(b) route material to the correct specific actioning offices;

(c) consolidate any previous material for particularly important aspects;

(d) prepare numeric index control entries;

(e) prepare relative subject index and cross-reference code entries as adequate guides for the identification of files;

(f) examine and conduct research on files and inspect files and papers released for filing for verification of subject content, conduct of correspondence, and execute any necessary corrective action;

(g) instruct and assist junior classifiers in their training period;

(h) answer telephone and personal approach inquiries for information.

(5) *A Junior Classifier* will be under the immediate direction of a Classifier. He will:

(a) classify, index, code and route material for routine files or file series having a limited, distinct and easily associated relevancy;

(b) cross-reference by unit establishment, organization, location or other code symbols on control cards;

(c) prepare routine subject index entries for routine new files;

(d) sort incoming records for classifying;

(e) examine and inspect routine subject files and papers;

(f) answer routine telephone inquiries.

NAME CLASSIFICATION OPERATIONS

1. GENERAL

(1) There are various methods of classifying and indexing personnel records, files and indices. Some depend on volume, some on the complexities and frequency incidence of names, some on the phonetic sound of the names, and some on the use of numbers assigned to the names. The "SOUNDEX" system provides a solution to the problem of complex or foreign names. The "TERMINAL DIGIT" system — and its variant the "MIDDLE DIGIT" system — can be applied successfully to a number-name situation where numbers are important and significant, and may be in use rather than the more simple application of the names only. With the introduction of the Social Insurance Number, the use of numbers instead of names may increase to a point where names may slowly be eliminated in filing operations. Normally, however, name files should not be complicated by assigning numbers to names as they are themselves inherent indices.

(2) For the normal personnel staff file requirements, an alphabetic name system will prove effective. The names in full must always be used for the file jacket captions, the name index reference card system and on all documentation. This will apply equally to the names of organizations such as commercial companies.

(3) Unfortunately, there are too many rules for indexing and filing name files and name index cards. They can be found in many books dealing with filing generally. Such rules are given in varying degrees of completeness in each book and many types of names are arranged in different ways in different books. There is often confusion between telephone directories of various cities so that a person from one city is not able to find quickly the names of individuals in another city even though the names are actually listed in some fashion.

(4) To index names, it is necessary to know what really constitutes the surname, the first name or initial and the middle name(s) or initial(s). Basically, to find, it is necessary to have the papers filed in correct order under the correct letter sequence. With the use of standard rules, the classifier and the user will be assured that the records will be found when needed.

(5) A thorough working knowledge of a system of rules to govern alphabetic indexing and filing is all that is required. But rules must first be set up in an organized way, and then applied consistently by the classifier. Otherwise the whole purpose of the rules, no matter what they may be, will be defeated. Such a system of consolidated rules, which are considered to be most applicable to name indexing and filing in the Government of Canada, has been provided as Appendix "C" to this handbook.

(6) Two sets of rules are provided — one for individuals' names and the second for the names of commercial companies with some remarks concerning other organizations. They should be used as required. Where any rule is not considered suitable for a particular situation, it should be altered to meet the need, but whatever changes are made it is most essential that consistency of application of the adopted rules is made paramount.

2. ALPHABETIC NAME INDICES

(1) All filing systems depend on order and this is just as axiomatic for name files as for subject classification files. Of course, a knowledge of alphabetic sequences does not mean merely the ability to recite the letters of the alphabet. It means being able to identify and indicate which name should come before some other name without resorting to the tedious — and perhaps ridiculous — process of starting with a, b, c, and reciting the whole alphabet.

(2) One filing aid in alphabetic name filing is an alphabetic name index. It will have many uses since it can be made to contain more than the bare names of individuals, companies, associations, and other organizations. It can show in addition such details as:

(a) whether a file still does or does not now exist; and

(b) the status of a file whether it is,
    (i) still active,
    (ii) or closed,
    (iii) closed and transferred to another department,
    (iv) closed and transferred to the Public Archives Records Centre,
    (v) or re-named because of a change, e.g. marriage,
    (vi) microfilmed and destroyed, or
    (vii) destroyed.

(3) Name index cards should be produced according to a standard pattern. One style would be to capitalize the SURNAME placed in the proper first position on the card. This could be followed by a comma with the first names in sequence and their first letters only capitalized. Illustration No. 19 illustrates this suggested standard style.

A NAME INDEX CARD

SUTHERLAND-JONES, Arthur James

File closed - transferred to D.O.T.

(4)　The file jacket can also be typed in a standard style and sequence. The surname could be placed on the first line of entry alone, and the full first names typed on the next first or second line indented to the right following the last letter of the surname. Illustration No. 20 shows this standard style.

(5)　When the full names of two or more individuals are identical, other indicators are needed to determine alphabetic filing order. One of these is addresses but they are never considered as index units but merely a secondary means of determination.

A NAME FILE JACKET

FILE NO.   VOLUME

SUBJECT

SUTHERLAND - JONES

ARTHUR JAMES

3. NAMES OF COMMERCIAL COMPANIES

(1) The processing of company names is more complex than that of individuals' names. This is largely because company names are frequently coined or devised to gain distinction and in an attempt to retain identification with products, services, locations and persons. This feature challenges the ability of a classifier to standardize the relevant rules. Another complexity is the complicated ownership-subsidiary relationships between companies, and this can be very involved. Should the subsidiaries be treated as only divisions of the larger organization? Sometimes this can be done because the names are obviously connected but sometimes this cannot be done at the moment through lack of information.

(2) Notwithstanding the complications, the general rule for companies is the same as for the names of individuals. It also follows that this general rule requires to be divided into special components so that consistency of indexing and filing may be achieved. The surname transposition applies to company names where the full names of individuals are a part of the company names just as for the name of an individual. But even this relatively simple situation has its exception where the full individual name is not transposed because of name status and name familiarity, e.g. Marshall Field and Company!

4. CROSS–REFERENCES

(1) When names are properly indexed and arranged in a card file, there is usually little difficulty in location practice. In some cases, however, difficulties are encountered because:

(a) the unit in the name was given the second position instead of the first position;
(b) the name requested is not the correct name under which the reference is indexed and filed, even although the two names may be related;
(c) the legal name of married women is used for the index form and the request may be by means of her husband's first name or by her original maiden surname — cross-references should be made;
(d) unusual names have not been cross-referenced; and
(e) double company names have not been cross-referenced.

(2) The extent of cross-reference needs is determined primarily by the requirements of the office serviced. If it is probable that more than one name will be associated with the same information, then cross-references are a necessity. On the other hand, excessive cross-referencing should be avoided because it may create confusion.

5. SORTING AIDS

(1) An alphabetic name index can vary from the letters of the alphabet to numerous divisions of names. For a small volume of name files, the appropriate guiding system may call for only the alphabetic letter divisions. In other large name files, the divisions may run to some hundred divisions. In general, too many division guides tend to hamper rather than to help in the indexing and filing operation.

(2) The procedure of sorting records into their alphabetic sequence may be adequately based on simplified groupings. The most commonly used four — five — six group breakdowns are allocated as:

FOUR	FIVE	SIX
A – D	A – C	A – C
E – K	D – G	D – G
L R	H – L	H – L
S – Z	M – R	M – P
	S – Z	Q – S
		T – Z

(3) The names in the list below are of most frequent occurrence based on the number of bearers per hundred thousand (100,000):

BROWN	– 630
DAVIS	– 472
JOHNSTONE	– 873
MILLER	– 526
SMITH	–1132
TAYLOR	– 310
WHITE	– 292
WILLIAMS	– 600.

(4) The following percentages may be an aid in spacing the sorting devices, for work assignment, and the equal distribution of records to the number of file containers in the file series. Two sets of percentages are shown. One set is based on American experience and the next set was compiled through practical experience and observation at the Public Archives Records Centre, Ottawa:

Letter	American	Canadian
A	3.1	2.8
B	9.62	12.8
C	7.4	9.2
D	4.73	5.6
E	1.9	1.1
F	3.68	3.3
G	5.27	5.2
H	7.65	5.9

Letter	American	Canadian
I	0.36	.2
J	2.89	2.1
K	4.0	2.8
L	4.79	7.
M	9.49	11.5
N	1.70	1.6
O	1.59	1.1
P	4.83	5.6
Q	0.18	.2
R	5.	4.7
S	9.90	8.2
T	3.31	2.8
U	0.2	.2
V	1.13	.9
W	6.42	4.5
X	—	
Y	0.50	.5
Z	0.49	.2

6. SOUNDEX

(1) Since the soundex system is being used in more than one government department, a brief description of its principles is given. Soundex is a system of grouping names by sound. Like-sounding names are grouped together by a system in 95 per cent of the cases regardless of the actual spelling. It acts as an aid where errors may occur through indistinct writing or where transpositions of letters may have been made.

(2) The system is based on the pronunciation of the sounds of the consonants in the alphabet. The prefix letter of the individual's surname acts as the primary guide and this is followed by a three-digit code number ALWAYS. The index cards are filed under the normal letter sequence first and then in numeric sequence of the codes within each letter. First names or at least initials of the first names are essential. An outstanding exception to the use of soundex is that experience has shown that it should not be used for Chinese names because of their brevity and lack of sufficient consonants. An alphabetic name index system is required for Chinese names, coupled with necessary cross-references.

(3) *Soundex Rules:*

No. 1 – Index and file by the FIRST LETTER OF THE SURNAME but DO NOT CODE IT.

No. 2 – CODE the remaining consonants in the surname to THREE numbers only.

No. 3 – CODE DOUBLE consonants or equivalents as ONE LETTER – the double or equivalent letter is disregarded.

No. 4 – DO NOT CODE the vowels a, e, i, o, u, or the letter y.

No. 5 – Where a vowel or the letter y separates two like consonants or equivalents. CODE BOTH CONSONANTS or equivalents.

No. 6 – Disregard the letters H and W EXCEPT as first letters.

No. 7 – When the code is completed with two numbers only, ADD an "O" for the third number.

No. 8 – Arrange each soundex numeric group by the first names, or initials, if the first names are not known.

The numeric values of the remaining letters of the alphabet are:

Letter	Code	Type of Sound
B,F,P,V	1	Labial or "lip"
C,G,J,K,Q,S,X,Z	2	Guttural and sibilant
D,T	3	Dental
L	4	Liquid
M,N	5	Moaning
R	6	Rearguard

Some examples are:

BIRD	B-630
BYRD	– B-630
SHEA	– S-000
SIMMS	– S-520
EARHARD	– E-663
EHRHEART	– E-663
LLOYD	– L-300
SCHWORER	– S-660
BROWN	- B-650
COLE	– C-400
POTTER	– P-360
STEVENS	– S-315

(4) As with any system, care must be exercised in the use of soundex. There are some occasions where the code must be interpreted by the classifier such as:

(a) the pronunciation of the letter "W" as "V" in "WAGNER" – W-256

(b) the pronunciation of the letter "J" as "Y" in "JOHANNESEN" – J-525

(c) the omission of the letter "S" as in "FIELD" – F-430 BUT "FIELDS" – F-432

(d) the spelling of "JOHNSON" – J-525 as "JOHNSTON" – J-523.

7. JOB OPERATING PROCEDURES – INDEX OF INCOMING NAME PAPERS

(1) In processing papers to name files, it is not necessary to proceed through the name indices as a first

step. This step is eliminated as an initial operation because the name index and the name file will be identical. Therefore, the job of indexing will be done at the file station where the file containers may be file cabinets or modular shelf filing units. The operator will be performing file room operations at the same time. In order to avoid repeated references to both types of file containers, the job operating procedures will be described as for file cabinets only.

(2) Since the process is of a more mechanical nature than that of a subject classification and indexing procedure, which is more mental, it is easier to state step-by-step actions for name indexing. They are:

Step 1 — Sort the papers into their complete alphabetic order by the SURNAMES FIRST.

Step 2 — Then sort the papers into their secondary alphabetic order by their first and/or middle names within each individual surname group. (Note: this step will be a requirement for large volume name files).

Step 3 — Pre-punch the papers uniformly at their top left corner in several convenient groups. (Note: for large volumes, an electric paper drill is justified).

Step 4 — Take the papers by groups to the file containers.

Step 5 — Read the SURNAME on the first paper.

Step 6 — Find the correct file drawer.

Step 7 — Check for the first file with the same surname as on the first paper.

Step 8 — Then check for the first file with the same first/middle names as on the paper.

Step 9 — Where there is more than one file with the same names, i.e. surname, first/middle names, compare other index indicators such as place of address, place of employment, age by years, date of birth, etc.

Step 10 — When the correct file is located, remove it from its location and at the same time pull up slightly the first next file to act as a marker.

Step 11 — Open the file and place the paper loose inside; close the file jacket and place it on the cabinet top.

Step 12 — Fill out a file charge control guide and place this in the position of the removed file.

Step 13 — Push down the marker file (Step 10) into place; if there are no further papers to be processed at this file drawer, close it.

Step 14 — Place the first file beneath the remaining papers.

Step 15 — Proceed from Step 5 to 14 for the other papers.

Step 16 — Where the required file is already charged out, enter the charge-out information on the relevant paper(s).

Step 17 — Where there is no file for a paper, note "No file" on that paper(s).

Step 18 — Return to classification station with the files and any remaining loose papers both with the charge-out notations and the no-file entries.

Step 19 — For papers with files,
(i) open the file jacket and secure the paper through the pre-punched hole to the file spike,
(ii) close the file jacket and rubber-stamp it on the next available line "With Papers (and date)",
(iii) enter in ink the correct action office at the proper column on the file jacket,
(iv) when a work count is being taken for work standard purposes, count the number of files and make a notation.
(v) place the files into the delivery pick-up racks.

Step 20 — For papers without files,
(i) where the papers have the file charge-out information noted thereon, count the papers and make a notation,
(ii) place the papers into the delivery pick-up racks,
(iii) where the papers have a "no-file" indication,

count and note, then proceed to check them against the name indices.

8. JOB OPERATING PROCEDURES — "NO FILE" PAPERS

(1) Because files arranged by names are inherently self-indexing, it is only necessary to refer to the name indices when a required file is not located at the file station itself. The reason may be that no file has been created, or that the file has been transferred or disposed of under authorized procedures. To establish a final determination of this, the name indices are the last resort and thereby justify their existence.

(2) The operating steps are:

Step 1 — Retain the papers to be checked in their original alphabetic order.

Step 2 — Find and open the correct post-index file drawer.

Step 3 — Find the nearest appropriate surname index guide in the drawer.

Step 4 — Check for the correct surname behind this guide by the first/middle names.

Step 5 — Where the paper reveals that it is a new record, check only for the name as quoted in the paper.

Step 6 — Where the paper appears to indicate that it is not a new record, and an index card does not seem to exist, check further by several name rearrangements or even alternate spellings.

Step 7 — Where there is still no evidence of an existing file, insert a removable indicator in the appropriate place in the sequence of names. (See Illustration No. 21).

Step 8 — Indicate on the paper the full name by surname, first and middle names.

Step 9 — Proceed with the remaining papers.

Step 10 — Pass all papers requiring new files to the typist for action to type,
(i) a file jacket,
(ii) an index card,
(iii) cross-reference card(s), if needed.

Step 11 — Check the index cards typed by the typist and insert them in place in the index sequence as indicated by the removable indicators and remove these indicators for re-use.

Step 12 — Check the file jacket typing for accuracy.

Step 13 — Enter the appropriate charge-out notations on the new file jacket with their enclosed papers.

Step 14 — Sort the new files to the appropriate delivery pick-up racks.

9. WORK STANDARD — NAME INDEXING

(1) The standard suggested here is based on the operations described in the preceding paragraphs. This is a simple category of indexing but it is in a different class from the classifying and indexing of simple subject material. Here the consideration is for records which are arranged in an alphabetic name index sequence.

(2) The standard suggested includes all the described operations, not only the look-up in a name index card system. Therefore more time will be consumed and the standard should be 50 items per hour.

10. JOB DESCRIPTION — NAME INDEXING

Under the direction of a classifier:

(a) index name-file correspondence and route to action offices;

(b) prepare and maintain appropriate information on name index cards;

(c) sort and segregate records pertaining to name files;

(d) prior to put away release to the file containers, inspect and examine files for various verifications of filing procedures, the conduct of correspondence by user offices, and execute corrective measures as required;

(e) conduct research for correspondence name files;

(f) process files and amend name indices in accordance with procedures for,
(i) inter-departmental transfers of public service employees,
(ii) transfers to the Public Archives Records Centre of public service employees,
as laid down in Treasury Board Management Improvement Policy MI-3-68 dated May 8, 1968, attached as Appendix "D";

(g) answer and process telephone and personal approach inquiries.

AN INDEX CARD INSERTION INDICATOR

1. For index cards of the 5" x 3" size, the diameter of the paper disc is 3-1/2" to project 1/2".
2. For index cards of the 6" x 4" size, the diameter of the paper disc is 4-1/2" to project 1/2".
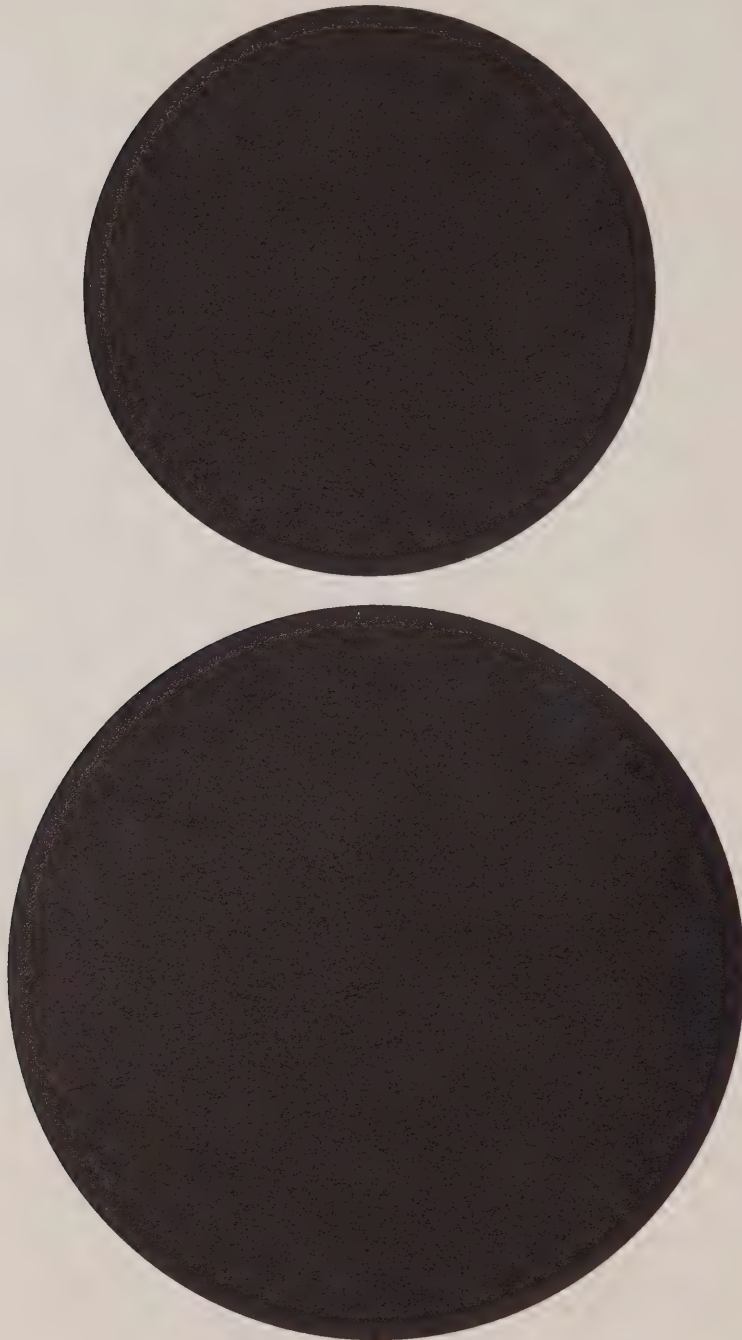
FILE ROOM OPERATIONS

1. THE FUNCTION

The efficiency with which the file room is operated reflects the quality standard of the whole records office and reveals whether the records management system is well organized or disorganized. The influence of the Records Manager will also be exposed. Here, the best efforts of the classifiers and the good aspects of the system may be defeated unless the records are under an organized systematic control. The more important functions of the file room are:

    (a) filing the records (files and papers);
    (b) verifying the records to be filed and maintaining an accuracy control;
    (c) issuing the records in the form of files;
    (d) controlling the location of the issued files;
    (e) operating a "Bring Forward" (B.F.) system;
    (f) maintaining the records physically, i.e. the files and the file containers;
    (g) FINDING the records on demand.

2. THE FILE ROOM ASPECT

(1) The file room should be kept with a clean, neat and orderly appearance. These factors will affect the operating efficiency of the records staff and will also raise the user's respect for the records system. A slovenly office will give an impression of a slovenly system which it will likely be under such an environment.

(2) All flat surfaces should be kept clean and clear of material except while an operation is being performed. If this is adhered to, such surfaces will always be available and ready for use during working hours. All files, papers, and forms should be removed at the close of the daily work and placed in an empty file drawer reserved for this purpose. The material must be suitably tagged to identify the work procedure involved so that operations will be resumed without delay.

(3) The file cabinets or the modular shelf filing bays must be maintained with an equal eye to orderliness. The file cabinet rows, drawers or shelf bays must not be permitted to become crowded. They must be appropriately identified and marked by row, bay and drawer labels as a finding aid.

(4) Charge-out control guides maintained at the filing units serve a double purpose and the secondary one is that they act as a location file number guide within the particular unit of the file containers. Stationary fixed formal guides may be inserted in addition, interspersed at

not more than every ten files. This will increase the speed of filing and finding by at least 10 per cent over a system with no file guides. Two specimens of file charge-out control forms are shown in Illustration Nos. 22 and 23. Both these forms possess the advantage of performing two actions at the same time — first as the charge-out information guide and, second, as an additional identification file number guide supplementing the formal fixed guides in the system.

(5) It will be found that the file charge-out control form shown in Illustration No. 22 is very versatile for the control of active files. The form, except for one action, is completed by the user offices and the need for transcription is eliminated thereby. The exception is that the form is completed by the file room staff for the charge-out of files which are being routed with new incoming papers. The card shown in Illustration No. 23 is more suitable for inactive-dormant files but it has the distinct disadvantage of the need for written transcription from some source of information: this imposes a risk of transcription error with unfortunate results at times.

3. FILING THE RECORDS — LOOSE PAPERS

(1) Loose papers should be sorted by file number or name separated into two groups. This sorting can be done at the file clerk's desk for a small volume, or at a sorting table on the flat surface but the aid of a mechanical sorter will be required for large volumes of loose papers. During the sorting process, the papers should be examined for their authorized release to file which is normally done by a written abbreviation "P.A." meaning "Put Away". This mark may be on single papers or it may apply to bundles of loose papers. Where the "Action Request Form", shown at Illustration No. 24, has been used by the user office, this form should be removed and destroyed: it is senseless to pile up these forms or similar scraps of paper on the files.

(2) After a classification and index verification by the classifier, loose papers received each day for filing should be processed each day without fail. There will be a tendency to excessive haste in filing if they are permitted to accumulate, and the abnormal speed of trying to catch up with the work will induce errors. The papers should be cleared of all pins, clips, superfluous staples; folded or unfolded where necessary; and torn pages repaired before being pre-drilled. *A standard position* at 3/4 inches from the top and top-left corner of the papers will ensure neatness for the files. On this matter, the Records Manager should collaborate with the Forms Manager to arrange for the pre-drilling of forms and other stationery items for ultimate filing. In preparing papers for file, clerks must

A FILE CHARGE—OUT CONTROL FORM WITH REMOVABLE HOLDER

(This system eliminates the need for transcription)
(This system eliminates written transcription error)

OUT

FILE NO.

3740-2

NOTE: A separate Form is Required for each File or T.D.

ACTION	✓	VOLUME NO.			T.D. NUMBER	
PASS		**2**	CURRENT	✓		
REQUEST			CLOSED			
B.F.	✓	ORGANIZATIONAL SHORT TITLE			DATE	
CANCEL B.F.		**R. M. O.** (Requesting, B.F.'ing or Passed to)			**3/9/69** (Use Future Date for B.F.)	
T.D. PLACED ON MAIN FILE		SIGNATURE			BRANCH	
RECORDS OFFICE		*J. B. F. afile*			—	
MAIL					(If form used as a Pass)	

FILE CONTROL FORM

A FILE CHARGE–OUT CONTROL CARD

(This system requires written transcription)
(This card acts as a file number guide also)

FILE NO.

Red Flash portion
projects above the
File Jackets in
file cabinet
drawers, and so
acts as another
file guide.

CHARGED OUT				CHARGED OUT			
TO	PER	DATE	BY	TO	PER	DATE	BY

NOT TO BE REMOVED FROM FILING CABINET

ACTION REQUEST
FICHE DE SERVICE

FILE NO. — DOSSIER N°

TO — À   RECORDS FILE ROOM

DATE   3 Sept. 68

LOCATION — ENDROIT

FROM — DE   "A" Division

- [x] ACTION DONNER SUITE
- [ ] APPROVAL APPROBATION
- [ ] COMMENTS COMMENTAIRES
- [ ] DRAFT REPLY PROJET DE RÉPONSE
- [ ] MAKE FAIRE................COPIES
- [ ] NOTE AND FILE NOTER ET CLASSER
- [ ] NOTE & RETURN/OR FORWARD NOTER ET RETOURNER/OU FAIRE SUIVRE

- [x] P. A. ON FILE CLASSER
- [ ] REPLY RÉPONSE
- [ ] SEE ME ME VOIR
- [ ] SIGNATURE
- [ ] TRANSLATION TRADUCTION
- [ ] YOUR REQUEST À VOTRE DEMANDE
- [ ] _____

FILE THE RECORDS   BUT

DO NOT FILE THIS

CGSB 6-GP-12B   C.G.S.S. 7540-21-562-8216

ensure that attachments remain with their covering paper regardless of the date(s) of the attachments. Extra copies and other non-record material will be discarded at this time.

(3) The papers will now be ready for sorting into either a number or a name classification. In addition to the sorting of papers, a sorter provides for an interim arrangement for papers pending the filing operation so that any specific paper may be located readily if it is urgently required. In large departments, the papers should be divided into several component sections and these groupings allocated to specific file clerks in conjunction with the training program and as a control check system. A regulated rotation of file unit groups will relieve the tedium of the repetitive character of filing papers or files.

(4) The papers will now be clean, pre-drilled and in their classification order. The next step is the attaching of the papers to their respective files. Starting with the first paper in order, the location of the appropriate file is found, and where the file is in place, it is removed and the paper inserted on the file spike at its correct chronological point. The file is then replaced. If the file is out, a file folder may be in its position and the loose paper is inserted with any previous loose papers for attachment on return of the file. If no file folder is already in use, then one is inserted with the new loose paper therein. The process is continued until all loose papers are disposed of. When there is a quantity of loose papers for a file which is in its position, it is preferable to remove the file and insert the loose papers in their date order at a sorting table or a desk, and then return the up-dated file to the file container.

(5) While putting away loose papers (or files), the file clerk will notice any large accumulation of papers waiting for a charged-out file. In such a case, he should recall the file from the holding office by the use of a form as shown in Illustration No. 25.

FILE RECALL FORM

(1) TO: _____   DATE: _____

    File number _____ Volume No. _____ or TD No. _____

    Subject Title _____
    (Name)

    _____

    _____

    According to the charge-out records, the above file has been with
    your office since _____ and is now
    required.

    It is requested that the appropriate sub-paragraph of Minute (2)
    below be completed and this form returned to the Records Office.

                                         _____

                                       For Records Manager.

(2) RECORDS OFFICE:

    (a) File returned herewith attached to be brought up-to-date
        and passed back to this office.   ☐

    (b) File returned herewith attached for put away.   ☐

    (c) File has been passed to _____
                              (Office)
        on _____.   ☐
            (Date)

    (d) Other (Specify) _____

    _____.

    Date: _____   _____
                                   (Signature)

AUTHORIZED FILE RELEASE ENTRY AND B.F. CHECK—OFF CANCELLATIONS

REFERRED TO	REMARKS	INITIALS	DATE	P.A. DATE	B.F. DATE	INITIALS
R.M.O.	WITH PAPERS	R.O.	1 Oct. 68		3/1/69	R.M.O.
ABC	*Minute ①*	*Rmo*	*4/10/68*		RED INK	
DEF	*Minute ②*	*ABC*	*6/10/68*			
GAB	*Memo*	*DEF*	*10/10/68*			
Rmo	*For action*	*GAB*	*12/10/68*	*19/10/68*		*Rmo*
				FILE RELEASE AUTHORIZATION		
R.M.O.	Per B.F.	P.O.	3/1/69	←(Sample of B.F. actions)		

4. FILING THE RECORDS – FILES

(1) Files released for put away must be so indicated on the file jacket. NO FILE IS PUT AWAY WITHOUT THIS AUTHORIZED RELEASE – see Illustration No. 26. Groups of files for P.A. are sorted in accordance with their classification order, by numbers or by names. This should be done at a sorting table. They are then taken to the file containers in convenient groups. Starting with the first file, the appropriate location is found and where there is only a charge-out indicator, this is removed and the file replaced in its stead. If the charge-out indicator is of the type shown in Illustration No. 23, this form is inserted inside the file jacket before the file is replaced. The form acts as a verification check in that the file clerk must make a visual scanning of the two relevant file numbers, i.e. on the form and on the file jacket, and the two numbers must be identical. The same rule applies to names – they must be identical.

(2) If the charge-out indicator is of the type shown in Illustration No. 22, the slips in the holder guide are removed and destroyed after the necessary number or name verification check has been made. The holder guide is NOT REPLACED but retained for further use as required at holding stations conveniently situated throughout the file container area.

(3) When there are only one or two loose papers for the file, these may be inserted into the file jacket at their proper chronological points at the file station. But where the quantity of loose papers is considerable, then the file with its papers should be taken to the file clerk's desk for more careful processing. All the papers must be sorted into order and their file references checked against the file jacket number or name before they are affixed to the file. The completed file is returned to the file station along with others and replaced in its proper location.

(4) All records should be pre-drilled and placed on the file jacket spike in an orderly manner instead of being forced onto the spike. They should be in chronological order beginning at the bottom of the file jacket and progressing upwards. Orderly files promote speed and accuracy both for the custodian and the user. The edges of the papers are kept even in the jacket as the filing is done from day to day. Overcrowding of the file containers must be avoided. One file jacket will hold 150 papers without serious buckling and 200 may be possible, but in general a thickness of more than one inch should be avoided. For very active files, when the number of papers reaches the capacity stated, a new file jacket, i.e. a new volume of the file, must be created.

5. ACCURACY VERIFICATION

(1) The file clerk who is filing the files or loose papers is responsible for the verification of the records being filed. The subject name and the subject file number on the loose papers must coincide with those on the file jackets. The file numbers or names on the charge-out forms must coincide with those on the file jackets. If there is any variation of any sort, the material must be returned to the classifiers for investigation and correction, if needed.

(2) File clerks in training should only be allowed to REMOVE the records. NEVER, in the intial stages of training, should they be permitted to insert into the records in any form unless they are under close supervision during a training session.

(3) A constant periodic accuracy inventory check should be made by progressively checking thoroughly one or two file units – cabinets or shelf bays – daily. By doing this verification in small doses in this fashion, this monotonous task is alleviated and will be more accurate since the tedium is not constant or lengthy. Another method could be to request a regular inventory of holdings by user offices by three or six month intervals. By this means of the division of labour, the task is spread out. The lists submitted may then be checked against the charge-out forms in the file containers. No charge-out system without some type of follow-up for return of the records provides an efficient control. The follow-up procedures can be controlled by means of a specific form which is issued as the need arises when a file has not been returned to the records office over a long period of time. Illustration No. 25 gives an example of such a form.

6. THE ISSUE CONTROL OF FILES

(1) The issue and control of files involve a number of separate and distinct operations. The complete cycle includes:

(a) a new record is received, classified, indexed and coded, routed, placed on file, and the file is delivered to the action office after charge-out control action;

(b) a file is charged out to a user office on requisition;

(c) a file is charged out to a user office on a "Bring Forward" action;

(d) a file charge is amended for a "Pass" action between user offices;

(e) the file charge-out period is followed up at the expiry of a reasonable time, if this becomes necessary; or

(f) the file is returned for put away or future bring forward action.

(2) The charge-out procedure must be organized to ensure that the control method will provide the holding locations at all times. This charge-out of a file to the user office is actually a liability which has been assumed by the

borrowing office that it will return the file to the records office for available use by other offices. Insurance of this return liability has been covered at paragraph 5(3) above.

(3) In a system where a charge-out card is used as shown in Illustration No. 23, the file number or name is typed at the top of the card as a new file or a new volume is created. When the file is in its file container, the card is kept inside the file jacket. As a file is issued, the card is filled out by entering the user office on the first available line with the date of issue, and the card is replaced in the file container in lieu of the file. If the file is passed between offices, this information must be transmitted to the file room by the office passing the file and the information is transcribed onto the appropriate card. When the file is returned to the file container, the card is replaced inside the file jacket. By this means, the location of the issued file is shown at its place in the file system and other advantages are that:

(a) the card acts as an additional guide in the file range; and
(b) all data concerning all the files in or out may be sighted at the one place.

(4) In a system where the charge-out is in the form of a file control slip as shown in Illustration No. 22, a slip is completed and inserted into a holder when the file is charged out by the records office as an initial action. Where the issuing action has been instigated by the user office on requisition, on a B.F. requirement, or as a Pass to another office, the slip will be completed by the user office. On receipt at the records office, the slip will be inserted into a holder and any appropriate action taken. The slip with its holder takes the place of and performs the same functions as the card-form charge-out. While the cost of the slip holders is a large factor initially, these holders are used repeatedly and last for long periods of time. The greatest advantage of this system is the elimination of transcription from one form of information to another form and the error possibility is reduced to zero.

(5) A PASS file can be controlled by either passing the file physically through the records office or by means of a pass notification which is sent to the records office for action while the file is delivered direct to the receiving office from the releasing office by the messenger service. It is the releasing office's obligation to complete the pass notice and to forward this to the records office. When a file is physically passing through the records office, any loose papers should be removed from the file containers and attached to the file before being forwarded to the receiving office.

7. BRING FORWARD OF FILES (B.F.)

(1) Every office is confronted with unfinished business

and the documentation concerned is referred to by various terms such as "Suspense Matters", "Pending", "Hold for an Answer", "Follow up", "Tickler Files", etc. Custom in Canadian Government records offices has settled mostly on the term "BRING FORWARD" for this situation. Files which require to be brought forward for action by a user office usually represent those which are of greater activity and import. Therefore, neglect in their efficient handling will likely result in a loss of some kind. Bring forward systems not under a satisfactory control are the cause of delays in producing the records when required and of an increased administrative cost to the department.

(2) A Bring Forward system is one of the major functions of a records office, and a well organized office will undoubtedly have a well organized B.F. operation. Accuracy and attention to all details are essential. In normal practice, the B.F. notation should be reserved for the file jacket entry so that it stands out and thus draws attention to the need for B.F. action on the part of the records office. The user officer can assist in this by making his B.F. date entry in *red ink*. Where the system is sound and exercised with care, even loose papers which have been marked "B.F." for a future date as an individual item will be protected. The application of the system will proceed as smoothly for such loose papers as for the complete file by the file clerk segregating such B.F. papers and making special efforts to mark the necessary notation on the file jacket when the papers are filed.

(3) The B.F. system calls for an arrangement by years, months and days. In this way, pending action will be brought forward on the due date automatically. The files which the user office may wish to return to the records office for this probable waiting period are marked with the probable future date by the file user on the file jacket — preferably in *red ink*. This information is noted by the records office on a card or a daily journal book or by the use of the same file control form shown in Illustration No. 22. When cards — preferably of 5 inches x 3 inches size — or control slips are used, they are filed in this sequence:

(a) FIRST by year when the file is required;
(b) then by the month of the year when the file is required;
(c) then by the day of the month of the year when the file is required; and
(d) then by the file number or the name sequence for the same day of the same month of the same year.

(4) On the day before the due date of the several files, the specific cards or slips are withdrawn for that due date and the files are charged out to the user offices. Here again, a check of the cards or slips must be made against the B.F. entry on the file jackets to ensure accuracy. When a B.F. has been honoured in the first instance by the records office, the file jacket entry should be signed off by marking

– "✓" – over the B.F. date when the information is noted. Then, when the file is charged out, a cross-check should be marked over the first mark – "✗". These marks will be made in blue ink for contrast. B.F. indications made by rubber date stamps should be banned by the Records Manager because they will be largely obscured among the other rubber date stamp markings. When a file is not available in the records office for B.F., the user office must be informed by means of a notification as shown in Illustration No. 27.

A SAMPLE B.F. NOTIFICATION FORM

```
TO:
    _____           Date: _____

File number _____ with subject title _____

_____

was B.F.'d for _____ but is charged to _____

on _____. Will you indicate what action is now desired

by completing Minute (2) below.
                              Per _____
                                  For Records Manager.
_____
(2) Records Office:
              B.F. may be cancelled   ☐
              B.F. when available      ☐
_____    _____    _____
   (Signature)        (Office)          (Date)
```

8. THE PHYSICAL MAINTENANCE OF FILES

(1) This section is related to paragraph 15.(3)(a) of Part 2, but in the physical aspect rather than the policy of file examination. It concerns the substantial care of the file jackets and their contents.

(2) *The Chronological Sequence* of the papers on a file should be strictly maintained and observed. This is an elementary principle for correspondence since the purpose of the file jacket is to house the papers in an orderly, neat and logical way. In chronological order sequence, the latest paper by its date is always added to the top of the filed papers on the file.

(3) *The Removal of Papers* once placed on file should not be done carelessly. If there is a pertinent reason for this action, this should be authorized by a classifier and in any event should not be done outside the records office. If papers are removed by user offices, this practice leads to confusion and time is always lost in the location of the records at some later date. The removal of papers by the records office can be controlled and accounted for by the use of a form as shown in Illustration No. 28. This form will also be useful in advising the user office of primary interest of the change.

(4) *The File Title Captions* should be typed by bulletin size machines. This character size type is an aid to all concerned. The Records Manager must insist that file titles are not to be changed by user offices without proper consultation, and that this will be done by the records office only.

(5) *Policy Files* are meant for POLICY papers only. Where administrative or operational action follows as an outcome, these papers will be kept segregated to appropriate action files created for this purpose. Conversely, where a file contains or inadvertently originates precedents of POLICY and it is a routine action file, the papers should be removed to the policy file or a new POLICY FILE should be created. If necessary, the original routine file may

RECLASSIFICATION NOTICE

To: Primary User Office as necessary OR ONLY to the   **File:** _____

1. OUTGOING - Letter Copy ☐ Memo Copy ☐	2. INCOMING - Letter ☐ Memo ☐
Addressed to _____	Originator _____
_____	_____
_____	_____
Date _____	Date _____ Ref. No. _____

3. GENERAL CORRESPONDENCE ☐   Dated from _____ to _____

Synopsis: _____

_____

_____

_____

_____

_____

4. Has been reclassified to file _____

5. May your records be amended accordingly for any future action.

Date _____   (per) _____

DATED FROM_____ FILE No._____

TO_____ VOLUME No._____

CLOSED
VOLUME

DO NOT PLACE ANY CORRESPONDENCE ON THIS FILE

FOR SUBSEQUENT CORRESPONDENCE SEE:

FILE No.. VOLUME No................................

PLEASE KEEP ATTACHED TO TOP OF FILE

be retained complete for continuity by substituting copies of the papers which are removed. This is also a circumstance where the form shown in Illustration No. 28 can be well employed without the need for making copies of the papers.

(6) *The Expansion* of the subordinate secondary files of a subject classification must be controlled by constant scrutiny of the files. Where they tend to accumulate papers at a rate which requires new volumes frequently, then action should be taken by the classifiers to examine such files to create:

    (a) Sub-subject secondary files of the primary subject;
    (b) Sub-subject tertiary files of the secondary files; and
    (c) Subordinate code files by departmental organizations, by other organizations, by locations, by geographical divisions, by items for commodities, etc.

(7) *Volumes* of specific files are indicated by their numbers on the file jackets at a pre-determined and pre-printed location. Volume numbers for files as for the volume numbers for books should only be instituted when the main original file has reached the point where a new second volume is necessary. In other words the main original file jacket should not be identified as Volume I until the second volume — Volume 2 — is created: then the original file jacket is identified as Volume I. The most convenient place for the separation of the papers by volume must be chosen logically, i.e. by fiscal years for financial documentation, by calendar years where this is more suitable, and by natural portions of these years in quarterly or semi-annual periods. It is advisable to use Arabic

numbers, NEVER Roman characters. The front cover of the file jacket of a volume must be stamped "CLOSED", and a "Closed Volume" sheet placed on top of the file contents as the first folio therein — see Illustration No. 29.

(8) *Pre-punching* of loose papers should be done in bulk, before placing them on file, to ensure neatness. Where volume of papers justifies it, an electric paper drill should be obtained for this purpose. The forcing of loose papers onto the file spike must not be permitted.

(9) *The Put Away* of loose papers onto the files should not be completed before the file reference numbers on the papers have been compared with the numbers on the file jackets. In addition, the file subjects should have been checked by the classifiers to ensure that the papers have been indexed to the proper subject files. Further, a fully trained file clerk with some experience in the area of subject classification should examine the file to prevent any gradual deviation from the main topic and draw such instances to the attention of the classifiers for possible adjustment.

(10) *Copies* of papers may have to be made when the correspondence deals with more than one subject or when more than one file reference number is noted or referred to. The first file number quoted will be the control file copy for action. Where copies have to be prepared for new incoming matter, the original will show the file numbers for the copies made as subordinate numbers, and the copies will indicate that the original is on the first file quoted. This notation may be done by the use of a rubber stamp with appropriate wording and check-off marks:

COPY FOR FILE   *3740-3* ✓
ORIGINAL ON FILE   *3740-0*

and

COPY FOR FILE   *3740-3*
ORIGINAL ON FILE   *3740-0* ✓

(11) *Loose Papers for Filing* must not be allowed to accumulate. They must be processed to the files daily or to the file containers daily to await the return of those files which are on charge-out issue.

(12) *Pass* notification forms must be processed daily and not allowed to accumulate.

(13) *B.F. Files* must be actioned on the day prior to

their due date so that they will be ready for delivery on the first delivery for that day. This also applies to the delivery of any B.F. Notification Forms completed for files which do not happen to be available in the records office.

(14) *Accessibility* to the file containers must be restricted to the operating staff of the records office. It is their duty to maintain and service the records. Unauthorized personnel must not be permitted to interfere with the records operation or to indulge in "self-service".

(15) *The Physical Security* of the records and the records office must be maintained at all times and this is especially necessary during the silent hours.

(16) *Closed Files and Closed Volumes of Files* must not be retained in the active file room area. They should be transferred systematically and regularly to an interim dormant storage area and/or to a Public Archives Records Centre in suitable accumulations by periodic accessions. A Closed Volume sheet is shown in Illustration No. 29.

9. THE TEMPORARY DOCKET

(1) The temporary docket may be used as and is intended to be a substitute for the main file on a temporary basis for a limited purpose. It may be used when the main file is in use by some other office or when a complete one case action of a particular subject file can be processed as a separate entity. In effect, temporary dockets of one particular main file may be regarded as "Case Files" of that specific main file.

(2) Where the temporary docket is used, it is possible to do so without any elaborate system requiring special control procedures. The temporary docket bears the same main file reference number under which it is created. However, the complete file number reference must include the temporary docket number. This docket number can be based on the day number of the year:

(a) the date when the docket is created may be 7 August, 1969, i.e. the 219th day of the year (in Leap Years it would be the 220th day);

(b) the year is 1969; and

(c) the docket number for temporary dockets created on the 7 August, 1969, will be

9219   last number of the year   day number

(3) Where more than one docket is required for the same file on the same day, letters of the alphabet may be added as a suffix:

(a) TD 9219 will be the FIRST docket on that day; and

(b) TD 9219A will be the SECOND docket for the same file on that same day.

(4) In a small establishment, where the use of temporary dockets may be of infrequent occurrence, the day of the year may suffice, i.e. 219 for the above example.

(5) The issue control for temporary dockets is performed in the same manner as for their main files. However, where temporary dockets are used in quantity, it may be necessary to file the charge-out control medium separately by the numerical sequence of the main file reference number and in docket number sequence under the main file number.

(6) When they are released for put away, temporary dockets are embodied into their main files "en bloc". The docket jacket is trimmed to leave intact the identifying numbers and the minutes on the jacket face. The docket is then inserted into the main file as one intact unit in chronological order using the date of the first paper on the docket as the filing date. The original use of the day of the year as the number of the docket plus this insertion method assures that all temporary dockets of a main file will be found in date order and automatically the docket numbers will be in numerical order as well.

(7) No record is required to show that an embodiment action has taken place. When the docket is not "on charge" and not at its proper place in the file containers awaiting the main file, then it must be on the main file at its date sequence.

(8) Good file examination will prevent temporary dockets becoming substitutes for or superseding the main file of a subject – a type of duplicate file. If any subject file requires the excessive use of temporary dockets, it is likely too general in nature and should be divided into more specific sub-files within the subject classification system.

(9) The file jackets used for temporary dockets should be of cheap quality since their life span as outer file jackets is temporary.

10. THE RECORDING OF MAIL

(1) In some departments it may be desirable to have a record of some of the new incoming mail. This operation, however, should be regarded as an insurance only for the most significantly important correspondence. Over-control will be very wasteful when the practice deteriorates into an unjustifiable routine. In some circumstances it may be a necessary crutch to support or prop up an inadequate subject classification system. In any event, a definite list could be set up of the special types of documents which should or may require to be recorded. With these precepts in mind, the basic factors of recording must always be kept in view:

(a) ONLY VERY SIGNIFICANT correspondence should be recorded;

(b) ROUTINE material should NEVER be recorded;

(c) recording practices must be restricted to the bare ESSENTIALS; and

(d) the operation must be simple.

(2) These principles can be reduced to a simple card recording system. The proper control of indispensable recording must rest in the hands of the classifier who will indicate what selected material should be processed in this way. It will take only a small effort to establish in written form what should and what should not be recorded and the classifier can so indicate by marking ONLY the items to be recorded, e.g. with an "R".

(3) A suitable mail record card will provide all the essential detail required in a recording system to control incoming mail. In a pre-printed card, the items to be completed will include:

(a) the source of the material and its date;

(b) the file reference of the incoming material, if any;

(c) whether there was an enclosure or not;

(d) the file reference number to which the classifier indexes the material; and

(e) how the material was forwarded to the action office.

The suggested card size is 8 inches x 5 inches and the entries should be made in ink for speed. Illustration No. 30 shows an example of a card for such a procedure.

(4) *Certain prohibitions* must be established in a mail recording system if it is adopted:

(a) the entries should NEVER BE TYPED;

(b) a brief (summary, precis) of the material should NEVER BE MADE;

(c) the system should NEVER BE USED FOR OUT-GOING MAIL;

(d) the system should NEVER BE USED FOR NAME FILES; and

(e) the cards should be destroyed after retention for a specified period of time.

11. SUMMARY OF CONTROL FOR NEW RECORDS

(1) The functions of records offices are similar even although their subject classifications, their working details, their physical locations and other factors may differ in minor respects. The complete work-flow for new records coming into a department will follow a pattern which will include all, or only some of the steps outlined:

(a) receipt through the mail room;

(b) sort of particular material in the mail room for records office processing;

(c) the classification, indexing and coding as required in the records office;

(d) the attachment-to-file process in the file room section;

(e) the mail record process ONLY WHERE JUSTIFIED;

(f) the delivery process through the messenger service; and

(g) the return to the records office for the final put away process in the file room section.

(2) The mail room receives all incoming material — new material, previously processed material, memoranda, requisitions, passes, put away files, put away papers. This material is sorted, segregated and directed into the correct distribution flow. New incoming material will flow to the classification section for processing prior to delivery to action offices. In the classification section an operational aid in the form of a prefabricated rubber stamp should be devised along the lines shown in Illustration No. 31.

(3) *The Classification Process:* the new incoming records are processed by the classifier who:

(a) stamps the material at the best convenient open space preferably near the top right corner;

(b) reads-scans to determine the subject classification, the specific index and/or coded file reference number;

(c) enters this file reference number within the rubber stamp impression;

(d) enters the appropriate action office at the line "Referred to";

(e) indicates that a mail record is required by writing the symbol "R";

(f) segregates the material into two groups for "NO RECORD" and "RECORD" mail; and then

(g) the material is picked up by the file room clerks for further processing.

(4) *The File Room Process:* the file clerk picks up the material from the desks of the classifiers and applies one of three possible alternative file room operations:

Alternative No. 1 - When the File is "IN"

(a) the appropriate file as shown in the stamped impression is removed from the file container;

(b) a charge-out form is completed and inserted into the file container in lieu of the file removed;

(c) the file jacket is completed by writing the action office as shown in the stamped impression at the line "Referred to";

(d) the other entries on the file jacket at the same line are entered by the use of another rubber stamp operational aid reading "With Papers and the

**RECORD OF INCOMING
CORRESPONDENCE**

CARD NO.   SOURCE:

CORRESPONDENT	AND/OR	CORRESPONDENT'S FILE NUMBER	DATE	ENCL	H.Q FILE NUMBER	METHOD	TO

date";

(e) action (c) is always done at the file container station while action (d) is only done at this same station for "No Record" material (for "Record" material, this stamp is made by the mail recording clerk at the mail recording station);

(f) the material is spiked onto file inside the file jacket

(if there is more than one item, spike the first and pin the others to it);

(g) the "No Record" material is distributed into the delivery boxes by the file room clerk; and

(h) the material for recording is taken to the mail record desk, processed, and then distributed into the delivery boxes by the mail recording clerk.

ILLUSTRATION
NO. 31

NEW RECORD CLASSIFICATION STAMP

Alternative No. 2 - When the File is "Out"

(a) if the file is charged out, the information is written on the allotted line by the file room clerk; and

(b) if the charge-out information shows that the file is with the action office designated by the classifier, the material is processed thereafter as loose material either for direct "No Record" delivery or for delivery after mail recording at the mail record desk.

Alternative No. 3 - When the File is "Out" for "Record" Material

(a) when the file is charged out but is not with the action office designated by the classifier, and the material has been indicated for "Record" action, then its importance, as assessed by the classifier, will justify the creation of a temporary docket; and

(b) the temporary docket will be created by the mail recording clerk, charged out as required and the docket distributed to the delivery boxes.

(5) *The Mail Record Process:* the mail record clerk receives the material designated for "Record" by the classifier and makes the appropriate entries on a card system as shown in Illustration No. 30. Temporary dockets will be created as defined at Alternative No. 3 above.

(6) *The Distribution Process:* all material which has been processed through the file room process and the mail recording process is sorted into properly labelled delivery racks set up in the file room. This material will be picked up at the established delivery times by the messenger service and delivered to the action offices.

12. JOB OPERATING PROCEDURES

(1) Many of the following job operating procedures have been covered to some extent by the preceding narrative. As a guiding rule, however, never permit procedures to remain static. New suggestions should be explored to determine whether new ideas will result in improvement over an old method.

(2) *Attaching New Records to File:*

Step No. 1 — Obtain new records from the classifier.

Step No. 2 — Arrange the records in numerical order by the file number references.

Step No. 3 — Obtain a supply of charge-out forms.

Step No. 4 — Proceed to the file containers.

Step No. 5 — Remove files according to the numbered new records from the file containers.

Step No. 6 — Complete the charge-out forms as appropriate.

Step No. 7 — Place the completed charge-out forms into the file container in lieu of the files.

Step No. 8 — If a file is charged out, write office and charge date on the appropriate lines of the stamped impression on the new records.

Step No. 9 — Enter the action office on the next available line of the "Referred to" column on the

face of the file jacket.

Step No. 10 – Continue as above for all the new records.

Step No. 11 – Stamp all file jackets with the impression "With Papers and date".

Step No. 12 – Place all new records – files and loose papers – indicated for "Record" by the classifier, at the mail recording desk.

Step No. 13 – Distribute all "No Record" material into the delivery system boxes.

(3) *Put Away of Loose Papers:*

Step No. 1 – Obtain put away loose papers from classifier after his verification check has been made.

Step No. 2 – Sort papers into file number reference sequence – numerical or alphabetical.

Step No. 3 – Straighten the papers in a uniform manner, pre-drill and fix to a long paper spike for ease of handling.

Step No. 4 – Obtain a small supply of plain manilla folders for use if necessary.

Step No. 5 – If the appropriate file is in the file container, locate and tilt the file jacket immediately behind it as a marker.

Step No. 6 – Verify the papers against the removed file.

Step No. 7 – Place the appropriate loose papers onto the file in strict chronological order.

Step No. 8 – Replace the file into its correct location.

Step No. 9 – Push down the tilted marker file.

Step No. 10 – When the appropriate file is charged out and there are already loose papers awaiting the return of the file, verify the new loose papers against the charge-out file number reference.

Step No. 11 – Place the new loose papers in front of the awaiting papers which will be housed in plain manilla folders.

Step No. 12 – When the appropriate file is charged out and there are no papers awaiting the file, veri-

fy the new loose papers against the charge-out file number reference.

Step No. 13 – If there is no plain manilla folder, place the charge-out and the loose papers into a folder and insert into the correct file location.

Step No. 14 – Where there is no file, or no charge-out form itself, or no charge-out form with waiting papers, return the new loose papers to the classifier for re-check and investigation. NEVER place the new loose papers into the file container under these circumstances: it is obvious that something is amiss.

(4) *Put Away of Files:*

Step No. 1 – Sort the files into their sequence – numerical or alphabetical.

Step No. 2 – Take the files to the file containers in convenient groups.

Step No. 3 – Locate the correct file locations for the files in sequence.

Step No. 4 – Verify the file jacket number with the file number reference as shown on the charge-out form.

Step No. 5 – Remove the charge-out form and insert inside the file jacket if it is a card system as shown in Illustration No. 23 or remove the charge-out slips and destroy after verification if the charge-out system shown in Illustration No. 22 is being used.

Step No. 6 – Insert the file jacket into the same location as the removed charge-out form.

Step No. 7 – When there are waiting papers for the file, remove the papers and the charge-out form, and tilt at the same time the file immediately behind the removed material.

Step No. 8 – Verify the file reference numbers of the file and the waiting papers.

Step No. 9 – Check for any outstanding Bring Forward action and

process if necessary.

Step No. 10 – Insert all loose papers into the file jacket in strict chronological order. (Note: this may require to be done at a sorting table or at a desk for operating convenience as a separate procedure).

Step No. 11 – Return the completed file jacket to its correct location in the file container.

Step No. 12 – When there are temporary dockets awaiting the file, remove the temporary dockets with the charge-out form and at the same time tilt the file immediately behind as a marker.

Step No. 13 – Verify the docket(s) and the main file reference numbers.

Step No. 14 – Remove the paper spike(s) from the docket(s) and insert the docket(s) intact onto the main file according to the date of the paper(s) which created the temporary docket(s). (Note: for operating convenience, this may require to be done as a separate procedure at a sorting table or at a desk).

Step No. 15 – Replace the charge-out form inside the file jacket or destroy the charge-out slip forms as appropriate.

Step No. 16 – Replace the file at its correct location and push down the marker file.

(5) *Bring Forward of Files:*

New Incoming B.F. Requests

Step No.   1 – Sort completed bring forward notification cards or slips into their date order.

Step No.   2 – Sort the same cards or slips into their file number reference sequence by these dates.

Step No.   3 – Place the sorted items into an appropriate container by the names of months, the usual thirty or thirty-one days of the month and by years if necessary.

B.F. Requests Due for Charge-out

Step No.   1 – Remove the cards and slips for outgoing B.F. files each day prior to the due day date.

Step No.   2 – Check that numeric or alphabetic sequence is correct.

Step No.   3 – Proceed to the file containers.

Step No.   4 – When the B.F. file is "in" (this includes temporary dockets as files), remove the file and tilt-mark the location.

Step No.   5 – Insert the B.F. slip form into the "OUT" holder as shown in Illustration No. 22 or transcribe the information to the charge-out form as shown in Illustration No. 23.

Step No.   6 – Place the charge-out form in the file location and push down the tilted file marker.

Step No.   7 – Enter the action office on the "Referred to" line of the file jacket.

Step No.   8 – Complete the charge-out of the file jacket with a rubber stamp aid impression "Per B.F. and the date".

Step No.   9 – Place the B.F. charged out files into the delivery distribution boxes.

Step No. 10 – When the B.F. file is already charged out, complete an advice form as shown in Illustration No. 27 and forward this to the action office.

13. WORK STANDARDS

(1) There is no significant difference in the sorting of files and loose papers. The put away process, however, has been divided in relation to the difference that subject records are by numbers and personnel records are by names in full. The following work standards are in use by one department and are given as a guide only.

(2) *Sorting of Papers and Files* – It has been established by the job operating procedures that these are not handled TOGETHER for either sorting or put away activity. The suggested standard is 240 per hour.

(3) *Put Away of Papers* – This suggested standard does not include sorting:

(a) For SUBJECT papers 120 per hour; and

(b) For PERSONNEL papers 100 per hour.

(4) *Put Away of Files* — This suggested standard does not include sorting. Since the files for subjects and personnel are physically the same, the standard is given for both at 50 per hour.

(5) *Charge-Out of Files* — Since the actions taken by the file clerk to determine that a requested file is not in the records office are essentially the same as for a file which is in the records office, both considerations have been included in the suggested standard. Further, the B.F. distinction is included because the charge-out operation is not altered because of a B.F. The suggested standard is 40 per hour.

(6) *Passing a File* — This means the up-dating of the current data on a file which is charged out. The suggested standard is 100 per hour.

(7) *Attaching New Records to File* — This is a suggested time allowance average of the percentage of mail which requires a charge-out of a file and the percentage of mail which requires only the writing of file charge information on the mail when a file is already charged out. The suggested standard is 60 per hour.

(8) *Typing File Jackets (New or Renewal)* — This standard includes the name index card for personnel files and the numerical index control entry for subject files. It does not include additional subject index or cross-reference entries. The suggested standard is 30 per hour. (Bulletin typewriter).

(9) *Temporary Docket Creation* — This standard includes the use of a bulletin typewriter for typing the file reference number and the docket number for readability instead of simple handwritten entries. The suggested standard is 30 per hour.

(10) *Mail Recording* — This is timed to allow for the necessary sorting by source or by date of the documentation. The entries will be written by hand. The suggested standard is 80 per hour.

14. JOB DESCRIPTIONS

(1) *A File Room Supervisor* will be under the direction of the Records Manager or his assistant where the records office is large or where there may be several sub-records offices with their file rooms. He will:

(a) direct, assign and co-ordinate the work of a file room to ensure that the work schedules are maintained in accordance with established procedures and work standards and to provide regular

service and meet specific situations;

(b) train by rotation and check the progress of training on a continuing basis and evaluate performance through efficiency rating media;

(c) conduct checks or other reviews of work performance for accuracy, completeness and compliance with operating instructions;

(d) direct the checking of file containers and contact offices to locate mislaid material;

(e) direct the segregation of dormant files to release space, keep dormant and active storage costs at a minimum;

(f) maintain a dormant file transfer procedure to the Public Archives Records Centres;

(g) answer more difficult inquiries and conduct research in files for requested information;

(h) maintain the physical appearance of the file room, and meet the security standards of the department in its operation.

(2) *A Senior File Clerk* will be under the direction of the File Room Supervisor and will act as his assistant as required. He will:

(a) perform the more responsible filing duties and train new employees in filing operations;

(b) inspect files for verification of completed action, chronological sequence and for need to create new file volumes or renew file jackets;

(c) conduct the physical transfer of closed files and closed volumes of files to an intermediate departmental dormant storage area or to the Public Archives Records Centres;

(d) maintain a follow-up check system for outstanding files;

(e) answer inquiries and conduct tracing activities for temporarily missing files not available through routine search procedures;

(f) maintain the physical appearance of the file room.

(3) *A File Clerk* will be under the direction of a senior file clerk and he will:

(a) pre-sort files and loose papers;

(b) put away files and loose papers to the file containers;

(c) insert loose papers and temporary dockets into main files;

(d) attach new records to file for transmission to action offices;

(e) perform charge-out operations for files and B.F. files;

(f) perform follow-up checking operations for outstanding files;

(g) maintain the pass files operations;

(h) maintain a counter service for files;

(i) answer routine telephone requests for files and file

locations;

(j) maintain the physical aspect of file cabinet drawers or shelf bays.

(4) *A Temporary Docket Clerk* — This may be a sub-function of a mail recording clerk. He will:

(a) create temporary dockets for new records as required;
(b) create temporary dockets on request;
(c) maintain a charge-out system for temporary dockets as required.

(5) *A Mail Recording Clerk* — Under direction of the classifier, this function may be performed along with that of creating temporary dockets. He will:

(a) enter prescribed details of new records directed to the mail recording station by the classifier;
(b) complete the charge-out entries on the file jackets containing mail for "Record";
(c) check out inquiries and references to previously received new records;
(d) adhere to the restrictions on mail recording.

15. TRANSFER, STORAGE AND DISPOSAL OF DORMANT FILES

(1) The philosophy of records scheduling and disposal has been dealt with in another handbook in the Paperwork Management Series — "Records Scheduling and Disposal"

(2) The continuous transfer of files from the current to a dormant files storage area is a good house-keeping procedure in itself, apart from the other reasons for this activity. It is necessary for the practical considerations of economy of space, equipment and labour. It promotes ease of filing and ease of finding both the active files and the dormant files.

(3) An acceptable time period lapse from active to dormant status for files is when no additional records have been added to the file for about two years or over. Then such files are transferable and should be moved to an intermediate dormant storage area or to a Public Archives Records Centre. Since an intermediate dormant storage area is an interim step, files so stored may be returned to active status as they may be required to be reactivated: this applies also for files at a records centre. Closed volumes of active files are automatically transferable.

(4) When no transfer of dormant records is made, the file containers will tend to become too crowded with material which gives no current service value. An active storage area is costly in comparison, the files in their crowded state become ragged and torn, and the required

active files are not produced with proper speed.

(5) One of the major duties of a records office is to apply consistently the authorized records disposal schedules. This can be done more effectively when the files which may be disposed of are segregated from the active files in the file room. Where a departmental storage sub-file room is organized, it will have a three-fold interim outlook:

(a) one to and from the main active file room;
(b) another to and from the branches, divisions and other units of the department; and
(c) the third to the Public Archives Records Centre.

A fourth and final outlook will be the conscientious application of the records schedules performed as an established function to dispose of all redundant records.

16. CONSOLIDATED OPERATING POINTERS

(1) *Filing Operations:*

(a) do each day's filing of files and papers;
(b) as a record is being filed, check it against the contents of the file, and the file number to prevent misfiling;
(c) adhere to a strict chronological sequence — do not staple together and file together incoming and outgoing correspondence;
(d) do not separate attachments from their covering paper — file all these together under the date of the covering paper;
(e) do each day's B.F.'s on the day prior to the due date;
(f) do not overload the file jackets;
(g) create new volumes for files immediately as required;
(h) the FIRST step in training a new employee should be to teach to sort or to withdraw from the records;
(i) NEVER allow an untrained file clerk to insert INTO the records unless supervised closely during a training period.

(2) *File Containers:*

(a) do not allow TOO much space for expansion in cabinets or shelves;
(b) conversely, do not allow cabinets or shelves to become overcrowded;
(c) provide sufficient file guides;
(d) label the file cabinets and drawers, and the file shelves and bays;
(e) label each row of cabinets and shelving;
(f) keep the transfer of dormant files up-to-date;

(g) maintain a follow-up of outstanding charged out files;

(h) maintain a follow-up examination of trans-ferred files for further disposal action continuously under approved records scheduling authorities.

AN EFFICIENCY AND OPERATIONAL AUDIT

1. GENERAL EFFICIENCY QUESTIONNAIRE

(1)   The listed questions are supplied so that the Records Manager will be reminded of significant points in the records office organization and the records management program's operations. These may be regarded as a condensed consolidation of the operational checklists which come after the general questions.

1. Is the system devoid of obsolete methods?
2. Is there a training program for new employees?
3. Are reference manuals and technical texts kept together as a local training library?
4. Are work standards established and in use?
5. Are job descriptions available to the staff?
6. Is the records office well lighted?
7. Is the records office cheerful of aspect?
8. Is the security of the records office maintained as required?
9. Do the various supervisors discuss progress or problems with their superior and their subordinates?
10. Is there a delivery and pick-up system organized internally within the whole records compound, i.e. mail room, records office, file room?
11. Are office routines organized to prevent fatigue?
12. Are members of other offices prevented from congregating in the records office?
13. Is self-service by records users prohibited?
14. Are all administrative files co-ordinated and indexed?
15. Is research matter indexed and cross-referenced?
16. Are committee minutes and committee files indexed for ready reference?
17. Is there a routing-delivery abbreviated symbol system organized?
18. Is this in published form and available not only to the mail room, the records office and the file room but also to the file user offices, the departmental library, etc.?
19. Are all files indexed by topic and cross-referenced to organizations, locations, commodities, etc., as necessary?
20. Is there a subject classification manual?
21. Is there an operational records manual?
22. Are the file container drawers or bays uncrowded so that files are easily withdrawn?
23. Are the file containers in good repair?
24. Are the file containers indexed by their rows, drawers or bays?
25. Are the file jackets completed by bulletin typewriter and easy to read?
26. Are the files in proper date sequence?
27. Is there a charge-out system?
28. Is there a follow-up and file recall system?
29. Is the sorting done by a mechanical device?
30. Are loose papers pre-drilled before filing?
31. Are dormant files transferred to a dormant storage area or to a Public Archives Records Centre?
32. Are dormant transferred files indexed so that they are still easily accessible?
33. Are dormant transferred files centrally controlled?
34. Are the files of common interest centralized?
35. Are the file cabinets and shelves arranged compactly?
36. Are papers forwarded regularly by and from action offices for put away?
37. Are files forwarded regularly by and from action offices for put away?
38. Is there a Bring Forward system for files (and papers)?
39. Has a records schedule for disposal operations been completely prepared?
40. Are these schedules applied regularly and consistently?
41. Are subject files screened periodically to prevent them from becoming too general?
42. Are policy files kept free of routine material?
43. Are file classification indices kept up-to-date and the classifiers notified promptly of new or cancelled files?
44. Are security classified files reviewed periodically for purposes of downgrading?
45. Is records management information, e.g. Treasury Board, Public Archives directives and information bulletins, circulated among or supplied to supervisors and key records personnel at headquarters and field establishments?
46. Are regular staff meetings held by the Records Manager to discuss policies, problems and progress?

(2)   The operational check lists go into precise detail in comparison with the questions. They can be used at any level of supervision but their application could be initially by the Records Manager in order to examine all operations of the program at the headquarters of a department. Secondly, he will find that they are of a great value in assessing the operations in a records office of a field establishment. Supervisors of sections will also find them useful in making periodic operational audits of their particular functions.

(3) Because a question appears in the checklists, this does not mean that the particular method or procedure indicated or implied is to be considered as the proper one. Some of the questions are designed to bring out weaknesses or faults in a system so that a re-examination will be or may be undertaken.

2. ORGANIZATION OF RECORDS OFFICE OPERATIONAL CHECKLIST

DEPARTMENT/AGENCY	BRANCH, DIVISION or UNIT		
LOCATION	OFFICER–IN–CHARGE		PHONE

	YES	NO	Otherwise Enter Appropriate Remarks
1. Organization Charts			
(a) Of department/agency showing:			
(i) place of Records Office;			
(ii) line of authority.			
(b) Of Records Office showing:			
(i) Mail Room;			
(ii) Records Operations including sub-offices or units;			
(iii) Messenger Services;			
(iv) Disposal Operations.			
(c) Is there a Records Committee?			
(d) If yes, is the Records Manager the chairman of this committee?			
(e) If not, why not?			
2. Centralized or Decentralized			
(a) Is the Records Office operated on a centralized basis to the whole organization which it services?			
(b) If yes, does this provide adequate and satisfactory service?			
(c) If not, how is the Records Office decentralized:			
(i) By Branch?			
(ii) By Division?			
(iii) By Unit Records Offices?			
(d) In any event, is the Records Manager responsible for:			
(i) Staffs?			
(ii) Space?			
(iii) Equipment & Supplies?			
(iv) Classification Systems?			
(v) Operational Systems?			

3.	Systems & Procedures	YES	NO	REMARKS

3. Systems & Procedures

   (a)   Is there a uniform subject classification system?

   (b)   Is there a central master index?

   (c)   Are there standard operating methods and procedures?

   (d)   Are there standard records forms?

   (e)   Are there standard classification, operational and instructional manuals?

   (f)   Is there central direction for the retention and disposal operations?

Staffing

   (a)   Does the Records Manager consider that there is:

       (i)   adequate staff as to numbers?
       (ii)   adequate staff classifications?
       (iii)   superior quality staff provided?
       (iv)   adequate quality staff provided?
       (v)   inadequate quality staff provided?

   (b)   Is the Records Manager providing an adequate on-the-job training program?

   (c)   Is there a satisfactory system of work and staff rotation?

   (d)   Is the supervisory guidance:

       (i)   superior?
       (ii)   adequate?
       (iii)   inadequate?

   (e)   Is there regular co-ordination of the supervisory personnel?

   (f)   How many of the staff have attended a Records Management Course offered by the Public Archives of Canada?

   (g)   How many of the staff are qualified to take this course in the future?

   (h)   What improvements could be made to the course?

   (i)   If the answer to any of the above is NO, or NONE, explain.

	YES	NO	REMARKS

(j)   What is the annual turn-over percentage for staff at levels:

    (i)   CR 1?
    (ii)   CR 2?
    (iii) CR 3?
    (iv) CR 4?
    (v)   CR 5?
    (vi) CR 6?

5.   **Records Forms**

(a)   Is there satisfactory collaboration with the Departmental Forms Officer as to:

    (i)   records forms?
    (ii) other forms as completed records?

(b)   Are records forms uniform in field offices Records Units?

(c)   If not, why not?

6.   **Records Manager & Overall Control**

(a)   Are there any other responsibilities than records assigned to the Records Manager?

(b)   Is the Records Manager also the Chief of Records (or equivalent)?

(c)   If not, what responsibility and means has the Records Manager to introduce or improve efficiency in the overall records operations?

(d)   What categories of records are being kept by Branch/Division which should be brought under the Records Manager's control?

(e)   Why are such records now kept apart?

(f)   Would there be any opposition to a central control of such records?

(g)   If so, why?

(h)   If brought under control, could the records be left at their present site?

(i)   If not, why not?

(j)   Are records inventories maintained and kept up-to-date?

	YES	NO	REMARKS

(k)   If not, why not?

(l)   If so, what use will be made of these inventories?

(m) Is the Records Manager responsible for field office records?

(n)   If not, why not?

(o)   If so, outline the responsibility.

3.   CLASSIFICATION, INDEXING & PROCESSING   DOCUMENTS OPERATIONAL CHECKLIST

	YES	NO	Otherwise Enter Appropriate Remarks

DEPARTMENT/AGENCY

BRANCH, DIVISION or UNIT

LOCATION

OFFICER–IN–CHARGE   PHONE

A – CLASSIFICATION & INDEXING

1.   **Type of System**

(a)   Is there a centrally planned and controlled classification and indexing system prescribed for use throughout the whole organization?

(b)   If so, is the system presented in a printed form?

(c)   If not, why not?

(d)   What kind of system is in use:

Alphabetic and/or Numeric:

(i)   Serial (consecutive)?
(ii)   Alpha-numeric?
(iii)   Block-numeric?
(iv)   Decimal-numeric?
(v)   Duplex-numeric?
(vi)   Subject-numeric (mnemonic)?
(vii) Soundex?
(viii) Terminal Digit?
(ix)   Uniterm?
(x)   Other - explain?

With Suffix Codes?

Is Colour Coding used?

(e)   Is the system being followed wherever records are maintained and serviced?

(f)   How is the system assessed to ensure that it is properly and correctly applied?

(g)   How is the system amended and maintained up-to-date?

(h)   Is this procedure adhered to and when was the last amendment published or issued?

2.	Components of System	YES	NO	REMARKS

2. **Components of System**

   (a)   Is the system simple:

       (i)   easy to install?
       (ii)   easy to operate?
       (iii)   easily understood without prolonged training of the records staff (more than three months)?

   (b)   Is the system revisable and expandable:

       (i)   permits adjustments?
       (ii)   permits expansion?
       (iii)   permits contraction?

   (c)   Is the system logical and comprehensive:

       (i)   sound groupings of related topics?
       (ii)   covers all functions?

   (d)   Is the system effective and economical:

       (i)   records complete?
       (ii)   records located quickly?
       (iii)   extraordinary finding aids not required, i.e. other than normal subject indices?
       (iv)   extraordinary equipments and supplies not required?

   (e)   Does the system permit easy retention and disposal of records?

   (f)   If so, explain how.

   (g)   If not, why not?

   (h)   Are location, equipment, organizational, etc., codes used as part of the file classification system?

   (i)   If so, are these codes placed in the first or last position of the file number?

   (j)   If there is no uniform system for the whole organization, why not?

Personnel Index

   (a)   What kind of index is in use:

       (i)   alphabetic by names?
       (ii)   a numerical arrangement?
       (iii)   soundex?

   (b)   How are the personnel files arranged?

	YES	NO	REMARKS

(c) Are there any problems?

(d) If participating in the Personnel File Transfer Scheme, does the index have notations placed thereon?

(e) Do such notations have any practical use?

(f) How long are personnel indices kept after file transfers are made?

(g) If kept longer than 2 years, why?

(h) If not participating in the Personnel File Transfer Scheme, why not?

4. **Subject Classification Processes**

(a) Are incoming documents pre-classified before delivery to action offices, i.e., allocated a file number?

(b) If so, why is this done?

(c) What percentage of such pre-classified material requires to be changed when released by action offices for "Put Away"?

(d) Are outgoing documents identified by a file reference number?

(e) If not, why not?

(f) What percentage of file references requires to be changed when documents released by action offices for "Put Away" (other than item (c) above)?

(g) What percentage of outgoing documents requires to be classified after their release for "Put Away"?

(h) Are classifications applied by:

    (i) handwriting?
    (ii) other means?

(i) Are classifiers specialists or generalists, i.e., specialists in only one area of responsibility?

(j) When cross-references are required for a document, how is this shown by a classifier?

(k) What is the total volume of material classified?

	YES	NO	REMARKS

(l)   What is the production rate per employee for the classification activity?

5.   **Subject File Cross-Reference System**

   (a)   What type of cross-reference index is used:

      (i)   copies?
      (ii)   forms?
      (iii)   linedex?
      (iv)   cards — 5 x 3
                       — 6 x 4?

   (b)   What is the volume of cross-references prepared for:

      (i)   new files numeric index control?
      (ii)   new files relative subject indices?
      (iii)   special file content references?

   (c)   Is the "linedex" or card index screened periodically to eliminate obsolete or redundant entries?

   (d)   What symbols are used to indicate dormant or destroyed files?

   (e)   What is the production rate per employee for the cross-reference preparation activity?

   (f)   What is the reference rate to "linedex" or card indices?

6.   **Equipment, Supplies & Workflow**

   (a)   List the amounts and kinds of equipments and supplies used for:

      (i)   classifying;
      (ii)   cross-reference indexing.

   (b)   Are they properly placed in relation to staff and workflow?

   (c)   Are they adequate as to amounts and type?

7.   **Cost**

   (a)   What is the average cost for classifying a document?

   (b)   What is the average cost for preparing a cross-reference?

	YES	NO	REMARKS
(c) What is the average cost per reference to the index?			
8. **Other Observations**			

B. – PROCESSING DOCUMENTS	YES	NO	REMARKS

1. Opened Mail from Mail Room

    (a)   What mail-types, if any, are given:

        (i)   a serial number?
        (ii)   a date (or time) stamp?
        (iii) a subject classification file number?

    (b)   What is the volume of such mail by the separate types?

    (c)   Are indices and cross-references prepared during subject classification of mail?

    (d)   If so, why?

Opened Processed Mail Sort

    (a)   Into what categories is mail, processed as in 1. above, next sorted?

    (b)   After this sort what categories of mail, if any, are forwarded for delivery to action offices without further processing?

    (c)   What is the volume of such mail?

    (d)   What happens to the mail which is not so delivered?

Recording/Briefing of Opened Mail

    (a)   What categories of mail are:

        (i)   recorded?
        (ii)   briefed?

    (b)   What is the volume of each category?

    (c)   For recording, what type of record is used, i.e., card, ledger, etc.?

    (d)   For recording, how is this record arranged:

        (i)   by date of process entry?
        (ii)   by date of the mail?
        (iii) by the sender source?
        (iv) by the routing source?

    (e)   For recording, what entries are made on this record?

    (f)   What use is made of this record?

(g) What time is consumed in making this record?

(h) How long is this record kept?

(i) For briefing, what use is made of the brief?

(j) For briefing, what time is consumed?

(k) For briefing, how long is the brief kept?

(l) What is the rate of reference to:

    (i) the recording record?
    (ii) the briefing record?

4. **Copying of Mail**

(a) Is mail reproduced prior to delivery for:

    (i) multiple routing?
    (ii) follow-up?
    (iii) file purposes?

(b) If so, are copies made by:

    (i) typing?
    (ii) photo-copying?
    (iii) stencil/plate?

(c) What is the volume processed for copying?

(d) What is the volume of copies produced?

(e) Therefore, the average number of copies is?

5. **Delivery on File**

(a) Is incoming mail which has been recorded or briefed forwarded on file?

(b) If so, what is the volume of such mail?

(c) And if so, why?

(d) But if this is done on a selective basis, explain.

(e) Do security classifications on mail impose special handling methods:

    (i) by a special unit of the Records Office?
    (ii) by special staff otherwise?
    (iii) in double envelopes internally?
    (iv) in wax-sealed envelopes?
    (v) with registration entries for receipt signatures?

6. **Final Sort for Delivery**

    (a)   Into what categories is mail sorted for delivery to action offices after the above processes?

    (b)   What is the time period between the receipt of mail from the Mail Room and the performance of:

        (i)   classifying and routing?
        (ii)   classifying, indexing & routing?
        (iii)   classifying, routing & recording?
        (iv)   classifying, routing & briefing?
        (v)   classifying, routing, recording or briefing and placing on file?
        (vi)   any other combination?

7. **Production & Cost**

    (a)   What is the production rate per employee for 1,000 pieces of mail and the cost for:

Volume	Time	Number of	Employees Class'ns	Salaries	Cost- 1,000

        (i)   classifying & routing?
        (ii)   indexing?
        (iii)   recording?
        (iv)   briefing?
        (v)   copying?
        (vi)   placing on file?

    (b)   What is the cost per reference to incoming mail recording systems, i.e., total cost of record divided by the number of references?

    (c)   What is the average cost of processing 1,000 pieces of mail from time received from the Mail Room until delivered to action offices?

8. **Equipment, Supplies & Workflow**

    (a)   List the amounts and kinds of equipments and supplies used for:

        (i)   routing;
        (ii)   recording;
        (iii)   copying;
        (iv)   briefing.

    (b)   Are these adequate as to amount and type?

    (c)   Are these placed for maximum efficiency?

	YES	NO	REMARKS
(d) What is the workflow for the operation of classifying, indexing, recording, placing on file etc.			

Other Observations

4. FILE ROOM OPERATIONAL CHECKLIST

DEPARTMENT/AGENCY	BRANCH, DIVISION or UNIT		
LOCATION	OFFICER–IN–CHARGE	PHONE	

	YES	NO	Otherwise Enter Appropriate Remarks
1. Sorting			
(a) When documents reach the filing stage are they promptly sorted?			
(b) If not, why not?			
(c) If so, does the sorter arrange the documents in the sequence in which they will be filed?			
(d) If not, why not?			
(e) What is the production rate per employee for the sorting activity?			
2. Containers			
(a) Are documents filed in file cabinets?			
(b) If so, what type (4 or 5 drawer)?			
(c) Are documents filed on open shelving?			
(d) Does the staff prefer open shelving?			
(e) If not, why not?			
(f) Is a suspension cradle type system used in the file cabinets, i.e., Roneo, etc.?			
(g) If so, why?			
3. File Folders and File Jackets			
(a) Are documents filed:			
(i) loose without folders?			
(ii) loose inside folders?			
(iii) on return of file loose in the file jackets?			
(iv) on return of file fastened in the file jackets?			
(v) retained in a central group until return of files?			
(b) State reasons for answer to (a)(v).			

	YES	NO	REMARKS

(c)   Are file jackets too bulky?

(d)   If so, why?

(e)   Are file jackets:

     (i)   properly identified by subject titles and/
          or file numbers?
     (ii)   bulletin typed?
     (iii) if not, why not?

(f)   Do the file jackets conform to the established
     standard?

(g)   Are coloured file jackets used for:

     (i)   security classification reasons?
     (ii)   any other purposes?

(h)   Are temporary jackets used?

(i)   If so, explain why and how.

4.   **File Cabinets**

(a)   Are file cabinets:

     (i)   overcrowded?
     (ii)   properly labelled?
     (iii) properly grouped?
     (iv) improperly used for non-file items?
     (v)   in good condition?

(b)   Has the guiding system:

     (i)   too few guides?
     (ii)   too many guides?
     (iii) an adequate number?

(c)   Are the file cabinets spaced too far apart in the
     rows?

5.   **Open Shelf Files**

(a)   What type is in use, i.e. wooden, steel,
     modular?

(b)   Is the open shelf filing unit:

     (i)   overcrowded?
     (ii)   properly labelled?
     (iii) properly grouped?
     (iv) improperly used for non-file items?
     (v)   in good condition?

	YES	NO	REMARKS

(c)   Has the guiding system:

    (i)   too few guides?
    (ii)   too many guides?
    (iii) an adequate number?

(d)   Are the units in good condition?

6.   **File Checking**

(a)   Are the file cabinets checked out periodically for misfiles?

(b)   Are files arranged by calendar or fiscal year "breaks", i.e., cut-off volumes as an aid to retention and disposal?

(c)   Are files arranged to segregate temporary from long term value records, i.e., routine from policy for example?

(d)   Are files examined for completion of all actions before being "Put Away"?

(e)   Is an excessive amount of letter-size material placed in legal size:

    (i)   file cabinets?
    (ii)   file jackets?

(f)   What is the total volume of material filed?

(g)   What is the production rate per employee for the filing activity?

(h)   Do the same records personnel who service the active files also service the dormant files?

(i)   If so, how is this justified?

(j)   Is there special provision for filing and security custody of classified documents?

(k)   Is there a security down-grading program in operation or under consideration?

(l)   Are bulky or odd-sized enclosures to the files kept separately from their documentary parents?

(m) If so, how is this identified as to the location of the enclosures, i.e., in the files?

(n)   If so, how are such bulky or odd-size enclosures arranged?

	YES	NO	REMARKS

7. Reference Services (Files & Papers)

(a) Is material sorted as soon as it arrives in the file area?

(b) If not, why not?

(c) Are large alphabetical and numerical files arranged to provide reference advantages by block control, i.e., special area assignments to specific file operators?

(d) If not, why not?

(e) Is workflow properly arranged in progressive forward steps?

(f) If not, why not?

(g) What is the procedure for requisitioning files and papers?

(h) What is the system for charge-out control?

(i) Is there a prescribed loan period for charged-out files and papers?

(j) Is there a follow-up of records on over-due loan?

(k) Is there a "BF" system to service file users?

(l) If not, why not?

(m) If so, how is the system operated?

(n) What is the number of reference service activities for:

    (i) file requests?
    (ii) papers requests?
    (iii) information look-up requests?
    (iv) BF's?

(o) What is the number of "can't finds"?

(p) Is provision made for records staffs to supply reference service after normal working hours, if required?

	YES	NO	REMARKS

8. **Equipment, Supplies and Workflow**

    (a)   List the amounts and kinds of equipments and supplies used for:

          (i)   sorting;
          (ii)   filing, i.e., cabinets-shelving;
          (iii) reference.

    (b)   Are they adequate as to amounts and type?

    (c)   Are they properly placed in relation to operating staff and workflow?

    (d)   Are supplies and forms adequate?

    (e)   Is the quality of file jackets in use appropriate to their purpose?

    (f)   What is the workflow for the file room operations?

9. **Cost**

    (a)   What is the average cost of filing a file or document?

    (b)   What is the average cost of charging out a file or document or providing information from these sources?

    (c)   What is the average cost of reference to the whole records system, i.e., total cost of classifying, indexing, cross-referencing, filing and service to the files divided by the number of references?

10. **Miscellaneous**

    (a)   Are files enveloped unnecessarily when routing-delivery information is already shown on the file jacket?

    (b)   Do action offices envelope files unnecessarily when files are being transferred to another office or returned to the Records Office for "Put Away"?

    (c)   Are the envelopes of incoming correspondence filed with the documents?

    (d)   Does the same file operator work on both "Put Away" material and new incoming mail?

	YES	NO	REMARKS
(e) Are the envelopes of incoming mail stapled to the documents before processing and delivery to the action offices?			
(f) If so, why?			
Other Observations			

5. ACTIVE FILES PHYSICAL LOCATION OPERATIONAL CHECKLIST
Re Decentralized Control

DEPARTMENT/AGENCY	BRANCH, DIVISION or UNIT		
LOCATION	OFFICER–IN–CHARGE		PHONE

	YES	NO	Otherwise Enter Appropriate Remarks
1. Use			
(a) Are records which are used almost exclusively by a single organizational unit located within or near such a unit?			
(b) Are records which are used jointly by several organizational units placed at a point accessible to all such units?			
(c) Does such an arrangement make for conflict between different organizational units?			
2. Time			
(a) For units of greatest urgency, are records placed so that service is provided at maximum speed?			
(b) Are there complaints from a number of sources that it takes too long for the user to get records service?			
(c) Do units maintain so-called "convenience" files which are duplicates in whole or in part of the official files?			
(d) Can records be inventoried readily?			
3. Space & Security			
(a) Is records servicing space satisfactory from the standpoint of:			
(i) size including room for expansion?			
(ii) freedom from structural obstacles?			
(iii) floor load capacity?			
(iv) convenience to elevators, stairwells, other mechanical facilities?			
(v) natural lighting?			
(vi) artificial lighting?			
(vii) heating?			
(viii) ventilation?			
(b) Are security classified records located in areas			

	YES	NO	REMARKS
best suited for protection — describe security resources, i.e., shell cabinets, vaults, etc.?			

(c) Is there collaboration with security officers on such matters?

(d) Does security interfere with proper operating records service?

4. **Cost**

Do the records locations permit economies by the use of:

    (i) standard equipments and supplies?
    (ii) minimum number of records staff?
    (iii) minimum messenger services?

5. **Control**

(a) Is there control on a centralized basis wherever the records are located?

(b) If not, why not?

(c) If so, does this control include:

    (i) organization of records according to a uniform classification and filing system?
    (ii) standard operating procedures?
    (iii) use of a manual or handbook of standards for records staff?
    (iv) review of requisitions for filing equipments & supplies?
    (v) standard forms used in records operations?

6. **Personnel**

(a) Does the number of records personnel remain stable?

(b) Is the turn-over normal relative to Item 2.4(j)?

(c) Is there co-ordination of movement of personnel with workload?

7. **Other Observations**

6.   WORK MEASUREMENT & STANDARDS OPERATIONAL CHECKLIST

DEPARTMENT/AGENCY	BRANCH, DIVISION or UNIT		
LOCATION	OFFICER–IN–CHARGE	PHONE	

	YES	NO	Otherwise Enter Appropriate Remarks

1.   Development

(a)   Are daily work production statistics compiled by the Records Office operating staff?

(b)   If not, why not?

(c)   If so, for what purposes?

(d)   If one of the purposes is re Work Standards, are these standards applied with regular consistency in the Records Office?

(e)   If not, why not?

(f)   If so, are these standards in printed form and is a copy available?

(g)   If so, how were the standards developed:

    (i)   by past experience data?
    (ii)   by observation and stop-watch timing?
    (iii)   by work analysis and predetermined standard times?
    (iv)   by work sampling?

2.   Maintenance

(a)   When a system, procedure or method changes, are the standards involved amended?

(b)   If the work content of a functional element changes, are the standards involved amended?

(c)   If so re (a) and (b), are illustrative examples available?

(d)   Otherwise, when were the standards last reviewed?

(e)   At that time, were adjustments found necessary?

	YES	NO	REMARKS

3. Co-operation in Use

   (a)   Does the program have the support of senior management?

   (b)   Does the program have the support of the supervisors responsible for its implementation and application?

   (c)   Does the program have the co-operation of the operating staff?

   (d)   If the answer to any of the above questions is no, explain.

   (e)   Are there any work-types where standards have not been established because:

      (i)   they were not considered to be measurable?

      (ii)   they were not considered worthy of development?

4. Application

What application is made of the standards and indicate frequency of use: Consistent   Periodic

      (i)   peak-load anticipation?

      (ii)   comparisons between units of the Records Office?

      (iii)   as an overall supervisory control?

      (iv)   as a supervisory training aid?

      (v)   for evaluation of the work of the employees?

      (vi)   as an aid in estimating staff requirements?

      (vii)   as a guide for new employees?

5. Operations Covered

Do the established standards cover the following operations and what are the standards:

   (a)   primary incoming mail sort?

   (b)   outgoing mail sort?

   (c)   mail opening:

      (i)   manually?

      (ii)   mechanically?

   (d)   mail dispatch preparation?

(e)   mail-messenger delivery?

(f)   correspondence classification:

    (i)   subject matter?
    (ii)   personnel matter and names?

(g)   creation of new files:

    (i)   subject?
    (ii)   personnel?

(h)   subject classification of new files?

(i)   subject index cross-referencing?

(j)   mail recording?

(k)   mail briefing?

(l)   file charge-out?

(m)   file passing & charge-out amendments?

(n)   adding new correspondence to files?

(o)   adding Put Away papers to files?

(p)   Put Away documentation sort:

    (i)   subject matter?
    (ii)   personnel matter and names?

(q)   Put Away file sort?

(r)   filing documentation into file containers?

(s)   filing files into containers?

(t)   file examination?

6.   **Work Standards Application Benefits**

Does the program reveal:

(a)   deviation from proper procedures and methods in a system?

(b)   need for further staff training?

(c)   poor work-load distribution?

(d)   late staff starts and early staff stops?

(e)   extended break periods?

(f)   poor working conditions?

(g)   poor working procedures and methods?

(h)   inadequate working equipments?

7.   **Other Observations**

7. ADMINISTRATIVE PRACTICES AFFECTING RECORDS MANAGEMENT CHECKLIST

DEPARTMENT/AGENCY	BRANCH, DIVISION or UNIT		
LOCATION	OFFICER–IN–CHARGE PHONE		

	YES	NO	Otherwise Enter Appropriate Remarks
1. Receiving Levels for Incoming Mail			
(a) Is incoming mail, addressed to the Deputy Minister essentially as a departmental mailing address, opened and forwarded to the responsible actioning office rather than to the Office of the Deputy Minister?			
(b) Are senior officers reviewing *routine* incoming correspondence?			
(c) If so, what routine mail-types are involved?			
(d) If so, at what lower levels should such routine mail be diverted?			
(e) Is this practice the fault of the routing technique of the Records Office or the Mail Room?			
(f) If so, what corrective measures should be taken?			
(g) If not, what corrective measures could be taken?			
(h) Is this routine mail usually:			
(i) replied to or otherwise acted on by the senior officer who receives it?			
(ii) referred to assistants for action?			
(iii) referred to a lower level for action?			
(i) Are lower levels reviewing *important* incoming correspondence about which senior officers have not been informed but should be?			
(j) Is this mail usually:			
(i) replied to or otherwise acted on by the level which receives it?			
(ii) referred upwards to senior officers before action is taken?			

	YES	NO	REMARKS

2. **Outgoing Reviews of Mail**

   (a)   Is correspondence referred to other offices for review clearances even when the subject matter is within the authority of the preparing office to handle alone?

   (b)   Is correspondence sent to any office during review clearance purely to keep that office informed?

   (c)   Once basic policy or procedure has been approved, is succeeding correspondence required to complete the same clearance that the original basic policy or procedural document received?

   (d)   As a general rule, are clearances limited to one within each organizational element to which correspondence is sent for review?

   (e)   Do clearing offices release correspondence within a satisfactory time period?

   (f)   Is the clearance review process followed in a formal manner, i.e., a clearance sheet form?

   (g)   If so, does the format or instruction encourage excessive reviews and paperwork?

   (h)   Are covering briefs used for lengthy documentation?

   (i)   If so, do they adhere to essentials:

      (i)   standard format?
      (ii)   limited to clearly defined types of mail?

3. **Signatures**

   (a)   Is correspondence signed by the preparing offices as much as possible?

   (b)   If not, what types of correspondence are not signed by the preparing offices?

4. **Rewrites**

   (a)   What percentage of correspondence is rewritten?

   (b)   What percentage of rewrites is due to:

      (i)   stenographic defects?

(ii)   composition defects?

(iii) factual defects?

(iv) tone?

(v)   non-adherence to policy?

(c)   Are signing officers permitted to make minor ink changes?

(d)   If not, why not?

5. Time Limits

(a)   Have time limits been established for acknowledging and answering certain categories of correspondence?

(b)   If so, are they:

(i)   specific?

(ii)   practical?

(iii) uniformly applied?

(iv) audited or monitored?

(v)   if so, by whom?

(c)   If they are audited or monitored, what system of follow-up is used?

(d)   What percentage requires follow-up?

6. Office Symbols

(a)   Are symbols used to identify preparing offices placed on outgoing correspondence?

(b)   If so, what symbols are used?

(c)   If not, why not?

(d)   Are they referred to in incoming replies?

(e)   If not, why not?

7. Policy Guidances

(a)   Has adequate policy guidance been given for:

(i)   receiving levels?

(ii)   reply points?

(iii) outgoing reviews?

(iv) signing authority?

(v)   rewrites?

(vi) time limits?

(vii) follow-ups?

(viii) office symbols?

(b) If not, why not?

(c) If so, is this policy guidance by:

      (i) correspondence memoranda?
      (ii) oral instructions?
      (iii) directives or manual?

8. **Other Observations**

APPENDICES

File 9516-2

CANADA

Ottawa 4, April 11, 1968.

To: DEPUTY MINISTERS AND HEADS OF AGENCIES

Subject: Guidelines on Records Management

Explanation of Bulletin

The growing complexity of government operations with the
establishment of new departments and the reorganization
of existing departments, has placed a very heavy burden
on the management of departmental records. In many areas,
departmental records operations have not kept pace with
the needs of the department. This has resulted from a
general neglect of the function by senior departmental
management and by a lack of appreciation of the importance
of sound records management by departmental administrators.

The need to strengthen the records management function and
to inject professionalism into the management of the public
records have been a matter of concern to the Treasury Board
for some time. Treasury Board's Management Improvement
Branch staff has consulted Public Archives, the Records
Management Association and the Bureau of Classification
Revision. The attached Information Bulletin is the result
of this collaboration.

It represents the synthesis of the most successful of our
departmental records operations. Through the organizational
centralization of the function, the opportunities for advancement
for records staffs should be improved. By detailing terms of
reference and recommended qualifications, we hope to enhance
the positions of departmental records managers. This will
assist departments to attract and hold more professional and
better qualified personnel.

The over-riding purpose is to enable the records staffs to
service more effectively the needs of the departments. This,
we are convinced, will make a significant contribution to the
improvement of departmental operations.

Yours sincerely,

D.R. Yeomans,
Assistant Secretary.

INFORMATION BULLETIN

BULLETIN D'INFORMATION

SUBJECT: <u>GUIDELINES ON RECORDS MANAGEMENT</u>

<u>CONTENTS</u>

Information Bulletin 1968-2

SUBJECT: <u>GUIDELINES ON RECORDS MANAGEMENT</u>

PURPOSE

The purpose of this Bulletin is to provide departments and agencies with guidelines which, it is believed, will increase the speed and efficiency of all those services which their records operations can and must provide, while at the same time demonstrably reducing the costs of such services.   In those departments where the recommendations of this Bulletin are already being practised, it has also been found that the capabilities and potential of records managers and their subordinates have increased, with no resultant increase in the size of staff.

BACKGROUND

This Information Bulletin is based on reports by records specialists from the Public Archives and the Records Management Association and on studies of records operations in departments and agencies carried out by the staff of the Management Improvement Branch. These reports and studies have shown that in many departments the importance of good records management in terms of administrative improvement and economic savings is not fully appreciated.   It has, therefore, been decided that some definition of records management as a function is necessary, and further that the role and qualifications of records managers themselves should be outlined.   This set of guidelines has been issued to

(a)   provide senior management with some concept of what records management should actually be in a department;

(b)   to outline the scope of the job; and

(c)   to describe the ideal qualifications required for carrying it out.

DEFINITIONS

"Records" is intended to include correspondence records, personnel records, general purchasing documentation, finance records, research records and operational forms.

"Records Management" includes all methods of storing and retrieving such data, whether located in the headquarters, regional, district or field office of the department. It means dealing with and assuming responsibility for:

(a) the systems, procedures and equipment for the documentation and organization of records;

(b) the identification, preservation and security of records of continuing value;

(c) the systematic elimination or transfer of obsolete or dormant records;

(d) the development of improved records reference services and retrieval techniques; and

(e) all mail and messenger operations and services.

"Records Manager" as a title is to be interpreted as superseding the term "Records Co-ordinator" used in the Public Records Order.

It should be noted that microform records and those designed and processed to be read by machine have not been included in the definition of "records" in this Bulletin. However, they are included under the definition of "Records" contained in the Public Records Order (PC 1966-1749). It is, therefore, recommended that departments and agencies review this area of their operations in the light of this bulletin to determine the practicability of placing some or all of these records under their records manager.

DUTIES AND RESPONSIBILITIES OF THE RECORDS MANAGER

The duties and responsibilities of the Records Manager are outlined below under two headings:

(i) Managerial and Supervisory

(ii) Advisory.

This represents all the recommended duties and responsibilities of a records manager and his subordinates in a large operating department. In a smaller department, where operations are more limited, which, therefore, requires a less complex records program, many of these duties and responsibilities may be handled directly by the records manager rather than through subordinates. In some

departments it is the practice to assign some of these duties to
employees of other divisions or branches, but it has been found
that the records management function is performed more efficiently
and economically where the duties and responsibilities are centrally
controlled. Such a centralization of control can operate effectively
even where the operations of a department have been physically
decentralized for better service.

MANAGERIAL AND SUPERVISORY

(a) Develops and co-ordinates records practices and procedures in
the department, plans and directs technical improvements in such
practices and procedures, and participates in the development and
issuance of procedural/operating manuals for:

   (i)   mail operations and services;

   (ii)   messenger operations and services;

   (iii) administration of co-ordinated classification systems;

   (iv)   organization and operation of records maintenance systems;

   (v)   administration of records inventories;

   (vi)   organization and administration of retention and disposal
          schedules; and

   (vii) economical utilization of equipment, supplies and space.

(b) Supervises the management of all records registries in the depart-
ment, either personally or through subordinates, including registries
in regional, district and field offices.

(c) Acts as chairman or secretary of a departmental records committee,
and represents the department, as required, at meetings of the
Advisory Council on Public Records.

ADVISORY

(a) Advises senior management on all the records management policies
of the department or assists specialists in the relevant fields, including:

   (i)   the theory and practice of records systems;

   (ii)   the economic value of an effective records management program;

   (iii) the application of new technology (e.g., microform) to
          records systems;

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(iv) the application of automated techniques to records systems; and

(v) the implication of relevant passages in existing and proposed legislation which involve the creation and retention of records by the government and the public.

(b) Participates in the development of new departmental systems and programs where these will affect records management.

(c) Consults with, interprets and implements the policies on records management issued by policy-issuing agencies such as:

(i) the Public Archives of Canada,

(ii) the Treasury Board.

(d) Collaborates with the departmental forms manager in the review of the use of completed forms as records.

(e) Makes recommendations on equipment and supplies necessary to conduct the operations of the records management program.

(f) Recommends the organization and establishment of departmental records units including considerations of numbers, qualifications and classifications of staff.

In addition, a Records Manager should be responsible for training records management personnel and for developing orientation courses and records appreciation workshops for departmental officers.

QUALIFICATIONS OF THE RECORDS MANAGER

The qualifications of the records manager are discussed under three headings - optimum, first alternate, and second alternate - in a descending order of desirability:

(a) Optimum Requirement

University graduation, preferably with specialization in courses such as Public Administration, Public Law, etc., and six years of progressively responsible experience, three of which include related administrative or supervisory work.

Successful participation in a recognized records management course.

Successful participation in a Public Archives familiarization course.

OR

(b) First Alternate Requirement

An equivalent combination of education, training and experience including:

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Senior matriculation.

Ten years of progressively responsible experience in the field of paperwork management, of which six years include related administrative or supervisory work.

Successful participation in a recognized records management course.

Successful participation in a Public Archives familiarization course.

<div align="center">OR</div>

Second Alternate Requirement

An equivalent combination of education, training and experience including:

Junior matriculation.

Twelve years of progressively responsible experience in the field of paperwork management, of which eight years include related administrative or supervisory work.

Successful participation in a recognized records management course.

Successful participation in a Public Archives familiarization course.

PAPERWORK MANAGEMENT

For the purpose of this and future information Bulletins, "Records Management" is treated as one of the five functions which collectively constitute Paperwork Management -- i.e., Records Management, Directives Management, Forms Management, Reports Management and Correspondence Management. Paperwork Management is therefore to be considered as comprising all currently used means of recording information for transmission and/or subsequent retrieval, other than those requiring the use of machines. Future information bulletins covering the other functions listed above will elaborate on this concept.

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TERMINOLOGY

1. GENERAL REMARKS

(1) The Records Management Institute — formerly known as the Records Management Association - attempted twelve years ago to draw up a set of terms for use in records management operations in the Government of Canada. Recently, another effort was made to establish a uniform terminology. As a result of these two projects, the definitions of the terms listed below have been compiled and are presented as a consensus of Records Managers who have many years of experience in the records management field.

(2) The advantages of standardizing terms are obvious. The pitfalls of semantics will be avoided by the adoption of standard terms. Therefore, with the knowledge that much thought, time and effort has been expended on the list which follows, Records Managers should train their staffs to use these terms as shown and to point out to them that, when they use a certain word or phrase, their meaning should conform to the definitions given hereunder.

2. DEFINITIONS

ACCESSION:	A group of records removed from a custodial department and transferred into the controlled guardianship of a Public Archives Records Centre for economic storage and service.
ACTIVE RECORD:	A record which is referred to and required constantly for current use by a department in the conduct of its business and which must be retained and maintained in office space and equipment.
A.D.P.:	Automatic data processing — see under DATA PROCESSING.
ADVISORY COUNCIL ON PUBLIC RECORDS (ACPR):	The council established under P.C. 1966-1749 dated 9 September, 1966.
ALPHABETICAL— SUBJECT:	A file classification system for arranging subjects by the use of words.
ARRANGEMENT:	The process of putting or sorting records into a proper sequence either in an alphabetical or numerical order.
B.F.:	BRING FORWARD — A system used to ensure that files or records not currently required by an office(r) are returned to the records office and then charged back to the same office(r) on a prescribed future date.
BLOCK SYSTEM:	A file classification system whereby the subjects are arranged into separate classes, groups or "blocks" of primary subjects and primary numbers from which sub-subjects are derived by secondary numbers in sequence: the primary numbers may be in a one, two, three or four digit series.
BOOK:	As included under "Public Records" comprises purchasing ledger, accounting ledger, bound copy of report of investigations, surveyor's note book, etc.
BRING FORWARD:	See under "B.F."
BURNER:	See under "INCINERATOR".
CALENDAR YEAR:	The period January 1 to December 31.

CARD:	A thin ruled pasteboard of varying sizes (normally 5 inches x 3 inches, 6 inches x 4 inches or 8 inches x 5 inches) used for index entries: as included under "Public Records", comprises "punched card(s)".
CASE FILE:	A file containing material relating to a specific action, event, person, product, etc., and usually filed by name and/or number rather than by subject.
CENTRAL REGISTRY:	See "RECORDS OFFICE".
CHARGE–OUT:	A control procedure maintained to establish the current location of a file or document when not in the records office.
CLASSIFICATION CONTROL:	A central operation which controls the creation of files through a uniform interpretation and application of a predetermined classification system.
CLASSIFICATION SYSTEM:	See "FILE CLASSIFICATION SYSTEM".
CLASSIFIED MATTER:	A record which has been assigned a security classification and which requires security protection. The degree of protection varies with the assigned security classification, i.e., Top Secret, Secret, Confidential, Restricted.
CLASSIFIER:	A person who analyses and determines the subject content of a document, selects the subject category under which it will be filed in accordance with a predetermined classification system, and assigns the appropriate subject file number to the document for subsequent retrieval.
CLASSIFYING:	The act of analysing and determining the subject content of a document, selecting the subject category under which it will be filed and assigning the appropriate subject file number to the document for subsequent retrieval.
CLOSED FILE:	A file containing material relating to an action or event which has been terminated.
CLOSED VOLUME:	A volume of an active file, which is still required for current use, cut off at a definite time period or at a definite event.
CODE:	A number or symbol assigned to group together related correspondence concerning a particular location, person, organization, product, etc., in lieu of the proper name or title for the purpose of abbreviation and identification.
CONFIDENTIAL:	A security classification concerning documents, information and material, the unauthorized disclosure of which would be prejudicial to the interests or prestige of the nation, would cause damage to an individual, or would be of advantage to a foreign power.
CORPORATE RETENTION:	Retention periods for records laid down by legislation or regulations concerning the various records maintained by business firms.
CROSS INDEX:	An entry recorded in an index directing attention to another related subject or name, etc., for the purpose of information retrieval.
CROSS REFERENCE:	A relative reference made from one record to another, from one subject heading to another or from one file to another.

CRUTCH FILE:	A file which contains extra copies of correspondence, invoices, etc., and which is maintained in an office for the purpose of convenience.
CUT OFF:	The stage at which files should be declared closed, e.g., a closed file or closed volume of a file. This is usually at the termination of an event, project or time period of a calendar or fiscal year.
CUTTER SYSTEM:	A system developed primarily for library use which may be effectively applied as alpha-numeric codes for locations, geographic divisions, names of foreign countries, names of government departments, etc.
DATA PROCESSING: (ADP: EDP: IDP:)	The processing of information by mechanical or electronic operation.
DEAD RECORD:	A record on which all activity has ceased and which should be destroyed or transferred to the Public Archives, if it has any long-term informational value.
DECIMAL CLASSIFICATION SYSTEM:	A subject classification system developed in units of tens and hundreds for the arrangement of subject headings. See also "DEWEY DECIMAL SYSTEM".
DESTRUCTION:	The physical disposal of records by means of burning, pulping, shredding, or by sale as salvage.
DEWEY DECIMAL SYSTEM:	A classification system developed primarily for library use.
DISPOSAL OF RECORDS:	See "RECORDS SCHEDULE".
DISPOSITION:	See "RECORDS SCHEDULE".
DOCUMENT:	See "PUBLIC RECORDS".
DORMANT RECORD:	A record of a department which is not required constantly for current use in the department and need not be maintained in office space and equipment. The term does not include a closed volume of an active file.
DUPLEX NUMERIC:	A file classification system with the arrangement or grouping of many specific file subjects (Tertiaries) under a number of sub-headings (Second-aries) derived from a very broad descriptive main heading (PRIMARIES).
E.D.P.:	Electronic Data Processing – see "DATA PROCESSING".
ESSENTIAL RECORDS:	A record which provides information in one of three categories: (a) for the conduct of survival operations during the shock phase of an emergency; (b) in the recovery phase of an emergency, to re-establish the organiza-tional pattern and the basic functions and responsibilities of govern-ment; and (c) in the recovery phase of an emergency, to re-establish the basic rights of individuals, corporate bodies and governments.
FALSE DOCKET:	See "TEMPORARY DOCKET".

FILE:	A collection of papers and documents on a specific subject or subject aspect within a file jacket, shannon file, etc. which have been arranged therein in some logical sequence, usually by date order
FILE CLASSIFICATION SYSTEM:	A logical and systematic arrangement of records into subject groups or categories based on some definite scheme of natural relationships using numbers or letters for identification.
FILE CREATION:	The addition of individual file(s) within a file classification system.
FILE FOLDER:	A plain kraft or manilla paper folder usually tabbed to house files and papers. (It is NOT a file jacket).
FILE JACKET:	The printed form, folded to provide a front and a back, to which papers are fastened. The file number and title are typed on these jackets and provision is made for the recording of the movements of the files.
FILE MAINTENANCE:	See "MAINTENANCE OF RECORDS".
FILE MANUAL:	A publication to aid and control the filing of records setting forth a particular file classification system with details on its application and operation.
FILE NUMBER:	The number or symbols assigned to identify a specific file.
FILE PLAN:	See "FILE CLASSIFICATION SYSTEM".
FILE STATION:	A unit of a records office located near a user organizational unit (branch, division, etc.) for the purpose of performing only routine records operations for that unit or specific area (floor, etc.). These records operations would include mail, messenger and charge-out duties, normally.
FILING:	Placing papers on file, returning files to their appropriate folders in the file containers (cabinets, shelving) and the arranging of cards in appropriate containers.
FILING ARRANGEMENTS:	The arrangement of files by a systematic method based on the two basic symbols or a combination of these two bases: one is the letters of the alphabet, and the other is numbers.
FILM:	As included under "PUBLIC RECORDS" comprises microfilm, documentary film, etc.
FISCAL YEAR:	The twelve month period commencing at April 1 and ending at March 31 of the following year.
GEOGRAPHICAL FILING SYSTEM:	The classification of records by geographical location of the individual, organization, or project concerned, usually arranged in alphabetical order: within the geographical location, the name or number by which the specific item is identified may be in alphabetical or numerical order.
HOUSEKEEPING RECORD:	A record pertaining to housekeeping activities such as everyday personnel, financial, purchasing and property-control actions, i.e. internal economy matters.
I.D.P.:	Integrated Data Processing - see "DATA PROCESSING".

INACTIVE:	See "DORMANT RECORD".
INCINERATOR:	A device used for the destruction by fire of records, which are normally security classified.
INDEX(ing):	A finding aid in a card, list or table form, normally arranged alphabetically for the purpose of reference to a name, subject, object, or place dealt with in a file; and To make an entry into an index or to compile a complete index.
INDEXER:	A person who maintains and operates a uniform method of indexing or arranges an index so as to facilitate the retrieval of information.
INVENTORY OF RECORDS:	A descriptive list, usually by series, of the records, or part of the records, of a department or agency; and An account or report itemizing each type of record and non-record material indicating the description, quantity and other pertinent data.
KARDEX:	The trade name for a visible card index system.
KARDVEYER:	The trade name for a mechanized (electrical or electronic) index card storage and retrieval unit.
LABELLING:	In filing or records storage, the process of providing suitable slips or tags to identify the contents of containers, shelves, rows or areas.
LEGAL SIZE:	Capable of accommodating legal size paper, i.e., 8 1/2 inches x 14 inches.
LETTER SIZE:	Capable of accommodating chiefly letter size papers, i.e., 8 1/2 inches x 11 inches.
LIBRARY OF CONGRESS SYSTEM:	A classification system developed primarily for library use.
LINEDEX:	The trade name for a visible card index system.
MAIN FILE:	The official file created for a specific subject, as opposed to a "Temporary Docket".
MAINTENANCE OF RECORDS:	The manner of grouping, filing, storing and safeguarding records.
MAP:	As included under " PUBLIC RECORDS" comprises representations on paper of a land, water, building, or utility system which have been compiled by a department or received by it.
MICROFILM(ing):	To reduce in size by photographic process various records for the purpose of:
	(a) preserving an image of important original copies in the event of their accidental loss;
	(b) reducing the volume of records to save space and equipment; or
	(c) preserving essential records in the event of a disaster; and
	(d) speeding up data processing operations and informational retrieval.
MICROFILM READER:	An item of equipment used to enlarge microfilm to readable size and permit viewing.

MICROFILM– READER–PRINTER:	An item of equipment used to enlarge microfilm to readable size, permit viewing and print copies of the enlarged film.
MICROPHOTO- GRAPHY:	See "MICROFILM(ing)".
MIDDLE DIGIT:	A method of numerical filing being a variant of the terminal digit filing system.
NAME FILE:	A file containing material relating to a specific person or organization where the name in full is the "file number" or an integral part thereof. Such files are filed alphabetically.
NON RECORD MATERIAL:	As included under "PUBLIC RECORDS" comprises library and museum material made or acquired solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, stocks of publications and processed documents, reading or chronological copies, etc. or other documents that do not serve as a basis for official action.
OFFICIAL FILE:	A file containing records described under "PUBLIC RECORDS".
OPERATING DIVISION:	A division of a department or agency charged with carrying out a part of the basic functions of that department or agency.
OPERATIONAL RECORD:	A record created by a department or agency while carrying out its basic functions.
ORDER IN COUNCIL:	An authorization or directive issued by the Privy Council Office. It is numbered and bears the prefix "P.C.".
P.A.:	The abbreviation of "PUT AWAY" to return files, papers or cards to their normal storage place within cabinets, shelving, folders, etc.
PAPER:	As defined under "PUBLIC RECORDS" comprises an official copy of an address, article, cheque, completed form, invoice, manuscript, receipt, speech, etc.
PAPERWORK MANAGEMENT:	That aspect of administration which includes the management of correspondence, directives, forms, reports and records.
PASS:	The transfer of a file or document from one office or person to another.
PASS SLIP:	A form used to notify the records office of the transfer of a file from one office or person to another.
P.C.:	See "ORDER IN COUNCIL".
PERSONNEL RECORD(S):	The official departmental personnel files and all documents and records of earnings, service and leave related to the career, or person, of any employee of the Crown, that are made or received by the department in which that employee is employed. The official personnel file does NOT include security clearances and related documents which are required to be filed separately.
PHOTOGRAPH:	As included under "PUBLIC RECORDS" comprises a picture forwarded

with a report to indicate clearly the scene of an accident, the condition of a building, etc. and includes aerial type photographs. Libraries of photographs compiled by departments for publicity, educational or informational purposes are not public records.

PLAN: See "MAP".

POLICY FILE: An official file containing records which reflect administrative usage, administrative regulation or administrative precedent OR which reflect governmental or departmental high-level management decisions or usage.

PRIMARY SUBJECT: The main topical heading in a file classification system.

PUBLIC RECORDS: Correspondence, memoranda or other papers, books, maps, plans, photographs, films, microfilms, sound recordings, tapes, punch cards, or other documentary material regardless of physical form or characteristics that:
(a) are made or received by any department in pursuance of federal law or in connection with the transaction of public business;
(b) are preserved or appropriate for preservation by that department; and
(c) contain information on the organization, functions, procedures, policies, or activities of that department or other information of past, present or potential value to the Government of Canada

BUT DOES NOT INCLUDE

library or museum made or acquired and preserved solely for reference or exhibition purposes, extra copies of records preserved only for convenience of reference, working papers, or stocks of publications or printed documents.

PUBLIC RECORDS COMMITTEE: The Committee established in 1945 to "keep under constant review the state of the public records, etc."; it was abolished by P.C. 1966-1749 of 9 September, 1966, and superseded by the Advisory Council on Public Records.

PULPER: An apparatus used in reducing certain security classified records to the form of paper pulp under water pressure.

PUT AWAY: See "P.A.".

QUARTER: The period(s) January 1 to March 31; April 1 to June 30; July 1 to September 30; and October 1 to December 31.

RECORD(S): See "PUBLIC RECORDS".

RECORDS CENTRE: An office and building of the Public Archives of Canada established to store and service economically a large volume of public records. This office also provides advice on records management.

RECORDS CO-ORDINATOR: An obsolete term — USE "RECORDS MANAGER".

RECORDS DISPOSAL: The planning for and/or the physical operations involved in:
(a) the transfer of records from active storage space to dormant or to a Records Centre;

	(b) the transfer of records to the Public Archives of Canada; or
	(c) the authorized destruction of unnecessary records of no value.
RECORDS MANAGEMENT:	The function of the administrative control and the technical operations and processes that govern all mail and messenger operations and services, and the organization of a classification system which covers the creation, maintenance and disposal of files and which includes the planning, organizing, controlling and co-ordinating of staff, space and equipment in these respects to permit:
	(a) the logical grouping and segregation by classification for retrieval of information and the systematic disposal of records; and
	(b) the receipt, storage, care, custody, reference and research services for the records.
RECORDS MANAGER:	The officer appointed in a department or agency to administer its records management program as specified in Order in Council 1966-1749, dated 9 September, 1966, and Treasury Board Information Bulletin 1968-2, dated 8 April, 1968.
RECORDS OFFICE:	The organizational element in a department or agency which is assigned the responsibility of planning, directing and operating the records management program.
RECORDS RETIREMENT:	See "RECORDS SCHEDULE" and "RECORDS DISPOSAL".
RECORDS SCHEDULE:	A list of public records approved by the Dominion Archivist indicating:
	(a) the length of time each type of record may or should be retained in the active records areas of departments and agencies before transfer to dormant storage; and
	(b) the length of time each type of record must be retained before final disposition.
REFERENCE FREQUENCY RATE:	Re dormant status – a record which is not referred to at a rate higher than one inquiry per cubic foot of records per month.
REGISTRY:	An obsolete term – USE "RECORDS OFFICE".
RESTRICTED:	A security classification concerning documents, information and material which should not be published or communicated to anyone except for official purposes, and when they are not classified in any other category.
RETENTION PERIOD:	The period of time which must elapse before disposal may be made of a body of records.
SCHEDULE:	See "RECORDS SCHEDULE".
SECONDARY SUBJECT:	The sub-heading grouped under the main subject, i.e., the PRIMARY subject's subordinate subject headings.
SECRET:	A security classification concerning documents, information and material the unauthorized disclosure of which would endanger national security, cause serious injury to the interests or prestige of the nation, or would be of substantial advantage to a foreign power.

SECURITY CLASSIFICATION:	A security category assigned to information to assess its required security protection value as "Confidential", "Restricted", "Secret", or "Top Secret".
SECURITY SHELL:	A steel enclosure with combination lock into which a filing cabinet is placed for the security protection of security classified records.
SHREDDER:	A machine used for the destruction of certain security classified records by reducing the papers to fine strips or shreds.
SOUND RECORDING:	As defined under "PUBLIC RECORDS" comprises a record which has been created through a sound recording device, (e.g., of a speech).
SOUNDEX:	A commercial file classification system developed for large alphabetical name files permitting the names to be arranged by alpha-numeric codes.
STATUTE OF LIMITATIONS:	A legally specified period of time beyond which action cannot be brought or the law is not to continue.
SUBJECT FILE:	The collection of papers on a specific subject or its specific sub-subject aspects placed together within a single file jacket.
SUBJECT– NUMERIC:	A file classification system using a combination of word abbreviations and numbers.
SUB–RECORDS OFFICE:	A subordinate office which is controlled by and responsible to the main departmental Records Office but which is physically located near and provides a complete records service to one or several departmental organizations.
SUB–REGISTRY:	An obsolete term – USE "SUB–RECORDS OFFICE".
TAPE:	As included under "PUBLIC RECORDS" comprises a record which has been stored on magnetic or paper tapes.
T.B. MINUTE:	The abbreviated form of "TREASURY BOARD MINUTE".
TEMPORARY DOCKET:	A temporary file which is created when the main file is not available or for a special purpose.
TERMINAL DIGIT:	A method of numeric filing whereby the last two or three numbers are read and considered as the first numeric filing unit and in which the complete number is read from right to left.
TERTIARY SUBJECT:	The subject heading which is subordinate to the secondary heading of the primary subject heading.
TITLE, FILE:	The caption or subject assigned to a file.
TOP SECRET:	A security classification concerning documents, information and material when their security aspect is paramount and when their unauthorized disclosure would cause exceptionally grave damage to the nation.
TREASURY BOARD MINUTE:	An authorization or directive issued, by the Treasury Board, which is numbered consecutively and which bears the prefix T.B.

UNITERM SYSTEM:	An information retrieval system whereby the subject content of a document is analysed and indexed into basic word units through which the document can be retrieved.
VITAL RECORD:	See "ESSENTIAL RECORD".
VOLUME:	See "CLOSED VOLUME".
WORKING PAPER:	A paper consisting of rough notes, calculations, preliminary drafts, punch cards, research notes, etc., used in the preparation of other records, such as correspondence, reports and statistical tabulations. Working papers become of little value once the finished product has been produced, and should be destroyed as soon as the finished product is available in readable form.

RULES FOR ALPHABETIZING

Section I – NAMES OF INDIVIDUALS

Rule No. 1 – Letter Sequence

This is the GENERAL rule:

"THE LETTERS WHICH DETERMINE THE ORDER OF ANY TWO NAMES ARE THE FIRST LETTERS WHICH ARE DIFFERENT IN THE TWO NAMES".

All names from the first to the last letter in the names must be arranged in strict alphabetic sequence from "A" to "Z", and similarities of sounds in the pronunciation of the names are ignored.

e.g.   REECE comes before
    REESE, because the letter "C" comes before the letter "S" in the alphabet.

Rule No. 2 – Units of Indexing and Filing

Each name or each initial is considered to be a separate indexing and filing UNIT and each unit must be alphabetized before proceeding to the next unit.

Rule No. 3 – Surname Transposition

The surnames and the given names are transposed into the following indexing and filing order:

SURNAME   - the FIRST INDEXING AND FILING UNIT is placed in the first position followed by

FIRST NAME   - the SECOND INDEXING AND FILING UNIT which is placed in the second position followed by

MIDDLE NAME(s) - the THIRD INDEXING AND FILING UNIT which is placed in the third position, and any subsequent units follow in order

If the full first and middle name(s) are not known, the rule still applies for the initial(s) of the first and middle name(s).

e.g. *Names*	*Index and File as*
A.E. Bell	BELL, A.E.
Arthur Bell	BELL, A.H.
A.H. Bell	BELL, Arthur

Rule No. 4 – Surname Sequences (and First and Middle Names)

In the arrangement of more than one identical surname, identical first name or identical middle name(s) or any close similarities, follow the maxim:

"NOTHING COMES BEFORE SOMETHING! "

e.g.	JOHNSON,	J.,	comes before
	JOHNSON,	John,	comes before
	JOHNSON,	John A.,	comes before
	JOHNSTON,	John,	comes before
	JOHNSTONE,	John,	comes before
	JOHNSTONE,	John B.	

Rule No. 5 – Indistinguishable First Names and Surnames

When individuals' names are composed of a first name and a surname, not distinguishable as one or the other, the names are indexed and *cross-referenced* with each name treated as a surname and a first name.

e.g. *Names*   *Index & File*   *Cross-Reference*

Names	*Index & File*	*Cross-Reference*
Rankin Bond	BOND, Rankin	RANKIN, Bond
James George	GEORGE, James	JAMES, George
George Philip	PHILIP, George	GEORGE, Philip
Alexander James	JAMES, Alexander	ALEXANDER, James
James Alexander	ALEXANDER, James	JAMES, Alexander

Rule No. 6 – Indistinguishable First, Middle and Surnames

When individuals' names are composed of a first, a second and a third name of which none can be recognized as the actual FIRST, MIDDLE and SURNAMES, the names are indexed and filed as written name for name. Thus, the first name is treated as the SURNAME, the second name is treated as the FIRST name, and the third name is treated as the MIDDLE name. However, WHEN THE SURNAME IS ACTUALLY KNOWN, follow Rule 3 above.

e.g. *Names*   *Index and File as*

Names	*Index and File as*
Abdul Ahad Yekta	ABDUL, Ahad Yekta
Bang How Yen	BANG, How Yen
Sun Yat Sen	SUN, Yat Sen
John Charles Thomas	THOMAS, John Charles (the known surname).

Rule No. 7 – Initials in First Sequence

For the SAME SURNAME, when the full first and middle names are interspersed with the initials only of first and middle names – and the full first and middle names are NOT known, the initials are indexed and filed before the full given names beginning with the same initial.

e.g. *Names*   *Index and File as*

Names	*Index and File as*
A.J. Jones	JONES, A.B.
A. Leonard Jones	JONES, A.J.
A.B. Jones	JONES, A. Leonard
Allen Jones	JONES, Allen
H.L. Jones	JONES, Arthur
Arthur Jones	JONES, H.L.
Henry L. Jones	JONES, Henry L.
A. Smith	SMITH, A.
George Smith	SMITH, Albert
Albert Smith	SMITH, G.D.
G.D. Smith	SMITH, George

Rule No. 8 – Abbreviations of First Names (NOT Nicknames)

Abbreviations of first names are indexed and filed as though written in full.

e.g. *Abbreviations*　　　　　*Index and File as*

Chas.	Charles
Jos.	Joseph
Alex.	Alexander
Vic.	Victor
Wm.	William
Vinc.	Vincent

Rule No. 9 – Nicknames and Nicknames with Surnames

Nicknames or shortened forms of first names which are the LEGAL names of individuals are indexed and filed as written and when used in conjunction with surnames the names are indexed and filed as in Rule No. 3.

e.g. *Nicknames*　　　*Index and File as*　　　*With Surname Index and File*

Al	Al	JOLSON, Al
Doc	Doc	KENNY, Doc
Jack	Jack	LONDON, Jack
Harry S.	Harry S.	TRUMAN, Harry S.
Sonny	Sonny	DEVLIN, Sonny
Mike	Mike	SHASKEY, Mike

Rule No. 10 – Prefix Syllables

Names with one or more prefix syllables, combined or separate, with or without capital letters or the apostrophe, shall be considered as part of the surname and the name treated as one complete unit. Two exceptions are the prefixes:

(a)　　M', Mc, Mac; and
(b)　　Saint, Sainte, St., Ste.

which are dealt with in Rules No. 11 and 12.

Some of the prefixes for this Rule No. 10 include:

d', D', de, De, du, Du, El, L', le, Le, Li, Lo, Ne, No, Van, Von.

e.g. *Names*　　　　　*Index and File as*

Iris BaCott	BaCOTT, Iris
Ludwig van Beethoven*	BEETHOVEN, Ludwig van*
Doris Bon Durant	BON DURANT, Doris
Chas. M. DeLacy	DeLACY, Charles M.
Alan de la Durantaye	de la DURANTAYE, Alan
Jas. P. Delafield	DELAFIELD, James P.
Jos. D'Harnoncourt	D'HARNONCOURT, Joseph

*Usage has dropped the "van" when referring to BEETHOVEN.

Rule No. 11 — Prefixes — M', Mc, Mac

Names beginning with the prefix "Mac" and its variations shall be considered as a separate letter group and shall be filed *before* the alphabetic letter "M". The prefix and its spelling variations are ignored and only the remainder of the name is considered.

e.g. *Names*   *Index and File in Sequence as*

Names		Index and File in Sequence as
MacDonald, Alastair	Mac	DONALD, Alan
Macdonald, Ian	Mac	DONALD, Alastair
McDonald, Sheila	Mac	DONALD, Ian
Macdonald, Alan	Mc	DONALD, Sheila
MacPherson, Flora	Mac	GREGOR, Rob Roy
MacGregor, Rob Roy	Mc	GREGOR, Robert
McGregor, Robert	Mac	INTOSH, Charles
McMillan, James	Mc	INTOSH, David
Macintosh, Charles	Mc	MILLAN, James
McIntosh, David	Mac	PHERSON, Flora

Rule No. 12 — Prefixes — Saint, Sainte, St., Ste.

Names beginning with the prefix "Saint" and its variations shall be considered as a separate letter group and shall be filed *before* the alphabetic letter "S". The prefix and its spelling variations are ignored and only the remainder of the name is considered.

e.g. *Names*   *Index and File in Sequence as*

Names		Index and File in Sequence as
Robert St. André	St.	ANDRÉ, Robert
Louise Ste. Andrée	Ste.	ANDRÉE, Louise
Roger Sainte Croix	Sainte	CROIX, Roger
Marcel Saint Denis	Saint	DENIS, Marcel
Claude St. Georges	St.	GEORGES, Claude
Jacques St. Jean	St.	JEAN, Jacques

Rule No. 13 — Hyphenated Surnames

For hyphenated names, ignore the hyphen and treat both of the names as one indexing and filing unit. A cross-reference card may be made as an index aid.

e.g. *Names*   *Index and File as*

Names	Index and File as
B. Duff-Gordon	DUFF GORDON, B.
Robert Carter-Brown	CARTER BROWN, Robert
Chas. Bek-Gran	BEK GRAN, Charles
James Hayden-Hindsley	HAYDEN - HINDSLEY, James
Arthur James Sutherland-Jones	SUTHERLAND JONES, Arthur James

Rule No. 14 — Abbreviated Designations

Abbreviated designations such as "Jr.", "Sr.", "2nd", etc. are disregarded except when the complete names are identical and the abbreviated designation would act as an aid. In this case it may be shown in brackets after the given names but it is not considered in indexing and filing.

Rule No. 15 – Titles and Degrees

In indexing and filing, where the surname is recognizable, titles and degrees are disregarded, but they may be shown in brackets after the names. BUT, a title followed ONLY by a given name shall be indexed and filed as written.

Rule No. 16 – Names of Married Women

A woman's legal name consists of her first names and her husband's surname. The index cards for single women, on marriage, should be cross-referenced to her new name.

Section 2 – NAMES OF COMMERCIAL COMPANIES

Rule No. 1 – Individual Name in a Company Name

When a company name consists of an individual's name with or without other words, index and file the individual's SURNAME FIRST.

e.g. *Names*   *Index and File as*

Robert A. Jones Grocery Store Ltd.   JONES, Robert A. Grocery Store Ltd.
H.C. Vital Engineering   VITAL, H.C. Engineering
A. Wright & Son Machine Shop   WRIGHT, A. & Son Machine Shop

Rule No. 2 – Order of Well-Known Individual Name in a Company Name

This is an exception to Rule No. 1 above. Where a company is so well known that it would cause confusion to transpose the surname, index and file the company name as written.

e.g. *Names*   *Index and File as*

Marshall Field & Company   MARSHALL FIELD and Company
Laura Secord Candy Stores   LAURA SECORD Candy Stores

Rule No. 3 – Order of More Than One Individual's Name in a Company Name

When a company name consists of more than one individual's name, index and file by the surname of the first individual mentioned, then cross-reference to the other surname(s).

e.g. *Names*   *Index and File as*

J. McNulty and D. Howe Inc.   McNULTY, J. and D. Howe Incorporated

Cross-reference to HOWE, D.

Rule No. 4 – Initials

For company names consisting partly of single letters at the beginning, treat the letters as one indexing and filing unit *before* all other names with the same first letter.

e.g. *Names Indexed and Filed as*

A B C Printing Ltd.   D Y F E Iron Works Ltd.
ABBOTT, Charles A. Ltd.   DALTON, William & Sons
DEF Enterprises Incorporated   DUFFY, Lloyd & Company.
DEFG Electronics Ltd.

Rule No. 5 — Hyphenated Company Names

For hyphenated company names, treat the names as one indexing and filing unit and ignore the hyphen.

e.g. *Names*   *Index and File as*

Eat-Rite Restaurant   EAT–RITE Restaurant
Prentice-Hall Inc.   PRENTICE–HALL Incorporated
Scripps-Booth Company   SCRIPPS–BOOTH Company
X-Tronic Engineering   X–TRONIC Engineering

Rule No. 6 — Abbreviations — Co., Corp., Inc., Ltd., etc.

Abbreviations used with company names shall be treated as though spelled out in full for indexing and filing.

Rule No. 7 — English Articles, Conjunctions, Prepositions

These items are not considered for indexing and filing. The word "The" may be shown in brackets at the end of the name.

Rule No. 8 — Non-English Articles and Prefixes

Such articles and prefixes shall be treated as though combined with the name which follows to make one indexing and filing unit.

Rule No. 9 — Possessives

When the company name ends with "'s" or "s'", the letter "S" shall be considered as part of the word-name and the apostrophe is ignored.

Rule No. 10 — Titles

A title in a company name shall be considered as a separate indexing and filing unit and the name shall be treated in the order written.

Rule No. 11 — Numbers

Company names beginning with numbers are indexed and filed as though the numbers were spelled out in full.

e.g. *Names*   *Index and File as*

1st Avenue Hotel   FIRST AVENUE HOTEL
7 Up Bottling Company   SEVEN UP BOTTLING COMPANY

Rule No. 12 — Compound Geographical and Location Company Names

Compound geographical and location company names are indexed and filed as written.

e.g. *Names*   *Index and File as*

North West Travellers' Agency   NORTH West Travellers Agency
Northwest Travelling Company   NORTHWEST Travelling Company
Santa Fe Railway Company   SANTA Fe Railway Company
South East Travellers' Agency   SOUTH East Travellers Agency

Section 3 – OTHER NAMES

Rule No. 1 – Associations, Churches, Schools, Universities, etc.

The GENERAL Rule is that these names shall be considered as written, unless some word other than the first word in the name clearly identifies the organization.

e.g. *Names*   *Index and File as*

Junior Board of Trade of Ottawa   OTTAWA, Junior Board of Trade
Carleton University   CARLETON UNIVERSITY
Bank of Montreal   MONTREAL, Bank of
St. John's Church, Ottawa   St. JOHN'S Church, Ottawa
University of Toronto   TORONTO, University of

Rule No. 2 – Federal Government Offices

The components of a government organization shall be treated as follows:

(a)   The principal word(s) of the name of a department or agency shall be placed in the FIRST position;
(b)   The principal word(s) of the name of the branches (divisions) of a department or agency shall be placed in the SECOND position; and
(c)   The next principal word(s) of the name of the divisions of the branch shall be placed in the next position.

Such words as "Department of" shall be placed in brackets after the words of the principal name.

Rule No. 3 – Other Political or Geographical Divisions

There are two considerations:

(a)   For foreign countries, foreign governments, foreign departments and agencies, consider first the name of the country, then sub-index by the principal word(s) of the government, department, agency, branch, division, bureau, commission, etc.; and
(b)   The principal word(s) of the name of the political sub-division shall be placed in the first position followed by the division, such as "Province of", "County of", "City of".

CANADA

RÉFORME ADMINISTRATIVE

MANAGEMENT IMPROVEMENT BRANCH
DIRECTION DES RÉFORMES ADMINISTRATIVES

NO. **MI-3-68** DATE May 8, 1968

T.B. **679645** May 2, 1968

SUBJECT: PERSONNEL RECORDS - TRANSFER,
STORAGE AND DESTRUCTION

CONTENTS

1. OBJECTIVE

This Policy supersedes Management Improvement Policy MI-10-66 dated August 19, (TB 658171) and all previous instructions issued by Treasury Board concerning the transfer, storage and destruction of personnel records.

2. BACKGROUND

This new Policy Statement has been occasioned by the issuance of the Second Edition, 1968 "General Records Disposal Schedules of the Government of Canada". Those portions of MI-10-66 which made reference to sections of the First Edition, "General Records Disposal Schedules", have been changed, and these portions are indicated by a vertical line at the side of the page.

3. DEFINITIONS

"Department" has the same meaning as in the Financial Administration Act and includes Agencies.

"Personnel records" include the official departmental personnel file and all documents and records of earnings, service and leave related to the career, or person, of any employee of the Crown, that are made or received by the department in which that employee is employed. The official personnel file does NOT include security clearances and related documents which are required to be filed separately.

A "centralized personnel record system" is one where official personnel files are located in headquarters of the department, and final responsibility for decisions in matters of personnel administration falling within the responsibility of the department are made at headquarters.

A "decentralized" personnel record system is one where official personnel files are located in the various regional or field offices of the department and where authority for personnel administration has been delegated by the Deputy Head to the officer in charge of each region or field office.

4. TRANSFERS OF RECORDS

A. Categories of Transfers

(i)   from the headquarters office of one department to the headquarters office of another department (normally in the Ottawa area);

(ii)   from the headquarters office to the field offices of
        the same department;

(iii)   from the field offices to the headquarters office of
        the same department;

(iv)   from the headquarters office of one department to
        a field office of another department;

(v)   from a field office of one department to the headquarters
        office of another department; and

(vi)   from a field office of one department to a field
        office of another department.

B. Purpose of Transfer

When an employee is transferred from one department to
another department, or is separated from the public service,
the official departmental personnel records of that employee
shall:

(i)   on transfer, be forwarded to the receiving
        department; or

(ii)   on separation, be forwarded to the Public Archives
        Records Centre in Ottawa.

The prime purpose for the transfer of the personnel records
is to avoid the creation and retention of duplicate records by
more than one department. The practice whereby duplicate
personnel records are retained by a department both at its
headquarters and its regional or field offices should be
discontinued.

C. Responsibility for Transfer of the Personnel Records

(i)   Centralized Records   (At Headquarters)

        When an employee is transferred or re-assigned from
        one department to another and both departments have
        centralized personnel record systems, it shall be the
        responsibility of the receiving department to ensure
        that the personnel records of that employee are trans-
        ferred with him or shortly thereafter.

(ii)   Decentralized Records   (Personnel transferred to,
                                 from, and between regional
                                 or field offices)

        When an employee is transferred or re-assigned from
        one department to another and the records are

decentralized, i.e., the official personnel file is maintained at the field office level for field office employees, it shall be the responsibility of the receiving department to ensure that the personnel records of that employee are transferred as appropriate, e.g.:

(a) to the field office if the receiving department's records are also decentralized; or

(b) to the headquarters office if the receiving department's records are not decentralized.

(iii) Field Office Duplicate Records

If decentralization of personnel records is in a transitional stage (duplicate personnel files still temporarily maintained in regional or field offices) only original documents and correspondence with more than transitory significance should be forwarded to the receiving department. All other material should be destroyed.

D. Security Records - Non-transferable

Personnel Security records of an employee shall NOT be transferred between departments.

When an employee is transferred, loaned, or seconded from one department to another, security records shall NOT be transferred. However, information relevant to security status shall on request be sent to the security officer of the receiving department. The minimum information provided should include the date the file was set up, and the date of the field investigation, (if any), the date of fingerprint check, the investigating department's subject file and the level of clearance granted.

E. Leave Application Forms

Leave application forms shall not be placed on individual official personnel files. Such forms shall NOT be transferred but shall be destroyed in accordance with the appropriate schedule of the "General Records Disposal Schedules of the Government of Canada", Second Edition.

F. Efficiency Rating Forms and Related Documents

Efficiency rating forms older than the period specified in the "General Records Disposal Schedules of the Government of Canada" Second Edition, shall NOT be transferred, but shall be destroyed in accordance with this schedule.

G. Superannuation Documents

In the case of transfers between departments, superannuation documents shall be completed and certified in accordance with the instructions issued from time to time by the Superannuation Branch, and shall be placed on the official personnel file of the transferred employee. These documents shall show the complete record of service and salary of the employee.

5. STORAGE AT PUBLIC ARCHIVES RECORDS CENTRE, OTTAWA - RETIRED OR SEPARATED EMPLOYEES' FILES

A. Departmental Retention Period

(i) The official personnel file of a retired or separated employee shall be retained by the department with which he was last employed for one year from the date of retirement or separation.

(ii) The official personnel file of a retired or separated employee who dies within this one-year retention period shall be treated in accordance with paragraph 6 A. (ii) below.

B. Movement to the Public Archives Records Centre, Ottawa

(i) The official personnel files of retired or separated employees shall be kept in alphabetical sequence. At the end of the one-year retention period, such files shall be forwarded to the Public Archives Records Centre in Ottawa at a time to be arranged with the staff of the Ottawa Records Centre.

(ii) As a means of assisting the Records Centre in indexing, and the relevant departments in identifying ex-employees later, the birth date of the employees should be shown on the official personnel files, top right, or lower left hand corner of the file face. An abbreviated month-year indication will suffice, e.g., "12/20" for December, 1920.

(iii) Where the personnel records have been decentralized, the official personnel files may, at the discretion of the department, be shipped from field offices directly to the Records Centre, Ottawa.

(iv) If the personnel records are in a transitional stage to being decentralized, and duplicate personnel files are still maintained in field offices, ONLY original documents and correspondence of more than transitory significance should be sent to the Records Centre, Ottawa. Other material should be destroyed.

C. Security Records

Security records concerning a retired or separated employee shall NOT be transferred to a Records Centre. Such records should be destroyed in accordance with the appropriate Schedule of the "General Records Disposal Schedules of the Government of Canada", Second Edition.

D. Personnel Records Not Filed Individually (i.e., Collective-Type Records)

(i) Personnel records not kept separately for each employee may also be transferred to the Records Centre. For example, revenue postmaster's records that have not been placed in individual folders but have been filed with other documents about the respective post offices, contain personnel information for a group of persons who were successively appointed at one location. Such records and any others of a like nature may be transferred under special arrangements with the staff of the Records Centre.

(ii) In future, to avoid the difficulty mentioned in (i) above, the personnel records should be filed on an official personnel file. Where it is desirable to maintain additional subject files, the record of such subject files can be completed by placing copies of the personnel information on these subject files.

E. Departments which have NOT previously transferred Retired or Separated Employees' Official Personnel Files for Storage.

Departments which have not previously transferred the official personnel files of retired or separated employees to the Ottawa Records Centre should make immediate arrangements to do so.

6. DESTRUCTION OF OFFICIAL PERSONNEL FILES

A. By Departments

(i) At Seventy Years

Departments are authorized to destroy the official personnel file of any ex-employee whose recorded birth-date shows that the ex-employee has reached the age of 70 years provided that:

(a) The ex-employee has been out of the public service for at least one year and there is no reason to believe that the ex-employee may be re-engaged in the public service; and

(b) the records are not likely to be of historical value as outlined in Section 7 below.

(ii)   One Year After Death

Departments are also authorized to destroy the official personnel file one year after the death of any ex-employee who:

(a) dies while in the public service; or

(b) dies within the one year retention period specified in Section 5. A. (ii) above;

provided that:

(c) no further action is pending or is expected that would require retention of the records for a longer period; and

(d) the records are not likely to be of historical value as outlined in Section 7 below.

B. By the Public Archives Records Centre, Ottawa

The Public Archives Records Centre is authorized to destroy progressively the official personnel files of ex-employees whose recorded birth dates show that the ex-employees have reached the age of 70 years, without reference to departments. The criteria at paragraph 6. A. (i) (a) above and Section 7. below also apply.

C. Destruction of Collective-Type Records

Collective-type records which have not been kept separately for individuals shall be retained by the Public Archives Records Centre until the personnel involved have attained the age of 70 years or for a lesser period on submission by the department concerned.

D. Personnel Pay Records

Firm and comprehensive retention periods have been established by the Comptroller of the Treasury for the destruction of Treasury pay records of employees. These are shown in the appropriate schedule of the "General Records Disposal Schedules of the Government of Canada", Second Edition.

Since the Comptroller of the Treasury maintains collective pay lists of employees, e.g., salary lists, duplicate records of the same type should NOT be kept by personnel or administrative offices beyond the retention periods stated in the appropriate schedule of the "General Records Disposal Schedules of the Government of Canada", Second Edition.

E. Physical Form of Destruction of Official Personnel Files

The method of destruction for official personnel files shall be by means of shredding, pulping or burning. The files shall NOT be disposed of by sale as waste or salvage.

F. Destruction of Indices of Transferred Official Personnel Files

Departments which have organized any type of index control for the official personnel files transferred to another department or transferred to the Public Archives Records Centre in Ottawa may destroy such indices two years after the date of the transfer. This includes cards, covering letters and receipts.

7. HISTORICAL PERSONNEL RECORDS

A. Action by Departments

(i) Personnel and records officers having knowledge of former employees who have attained distinction within the public service, or some special distinction or status beyond the bounds of duty, or outside the public service, can assist the Public Archives greatly by tagging the official personnel files of such employees or of employees who have attained any of the ranks listed under B. below.

(ii) If any doubt exists about a particular official personnel file, it shall NOT be destroyed within the department but shall be suitably tagged and transferred to the Ottawa Records Centre for further historical assessment.

B. Action by the Public Archives Records Centre, Ottawa

To ensure the preservation of the official personnel file of employees who may be of interest to historians, the Ottawa Records Centre will examine for permanent retention the files of employees of the following ranks or their equivalents:

1. Deputy Ministers
2. Associate and Assistant Deputy Ministers
3. Commissioners
4. Chairmen of Boards
5. Comptrollers or Directors General
6. Agents General
7. Directors of Branches and Divisions
8. Deputy Superintendents of Indian Affairs
9. Dominion Astronomers
10. Surveyors Generals
11. Masters of the Mint
12. Dominion Hydrographers
13. Dominion Geodesists
14. Chief Oceanographers
15. Chief Geologists
16. Chief Architects
17. Chief Engineers
18. Dominion Land Surveyors
19. All Surveyors and Engineers in charge of Public Works, Railways and Canals
20. Captains of Vessels serving Hudson Bay and Northern Posts
21. Clerks of the Crown in Chancery
22. Commissioners, Deputy and Assistant Commissioners and other Officers of the Royal Canadian Mounted Police including Inspectors and above
23. Ambassadors
24. High Commissioners
25. Heads of Missions
26. Consuls General
27. Senior Officials outside Canada
28. Senior Members of the Judiciary, i.e., Chief Justices and Justices of the Supreme, Exchequer and other Courts
29. Officers of Parliament including the Sergeant-at-Arms, Gentleman Usher of the Black Rod, Clerk of the House, Law Clerks and Others.

8. FILE STRIPPING

There should be no file stripping as a matter of course; this practice is not economical. However, during daily references to personnel files, ephemeral material can and should be removed from the files by the staffs of personnel offices. Records dealing specifically with disciplinary matters may be disposed of in accordance with the appropriate schedule of the "General Records Disposal Schedules of the Government of Canada, Second Edition.

D.R. Yeomans,
Assistant Secretary.

MANAGEMENT IMPROVEMENT POLICY

RÉFORME ADMINISTRATIVE

CANADA

MANAGEMENT IMPROVEMENT BRANCH
DIRECTION DES RÉFORMES ADMINISTRATIVES

NO. **MI-7-67**   DATE **Dec. 15, 1967**

T.B. **675296**   **Dec. 14, 1967**

SUBJECT: A PARTIAL MORATORIUM ON PURCHASES OF
CONVENTIONAL FILING CABINETS

CONTENTS

1. OBJECTIVE

To promote more economical use of office space and to save on the cost of filing equipment.

2. BACKGROUND

Treasury Board, after considering reports by public service specialists from the Public Archives and the Records Management Association, on the applicability and value of a moratorium on conventional filing equipment, has directed that this policy statement be distributed to all departments and agencies.

3. DEFINITIONS

"Conventional Filing Cabinets" means standard 2-, 3-, 4- or 5-drawer wooden or metal cabinets.

"Modular Shelf Filing" refers to Canadian Government standard modular shelving.

"Security File Cabinets" refers to approved cabinets, such as "Security Shell", required for storage of classified documents.

"Private Office" means any office space other than that occupied by file registries, central registries, or record registries, or other areas maintained for the retention and accession of departmental files, including personnel files.

4. POLICY DIRECTION

Effective January 1, 1968 all departments and agencies are required to implement the procedures outlined in this policy statement, and they shall continue until further notice.

5. DEPARTMENTAL RESPONSIBILITIES

Departments will be responsible for:

(a) limiting their purchases of conventional filing cabinets to requirements for private offices and to security file cabinets. However, it is recommended that departments consider the possibility of creating "security areas" in which classified material may be housed in modular shelf filing.

(b) initiating the conversion of existing file registries, wherever possible, from conventional filing cabinets to modular shelf filing.

(c) conducting a systematic review of all files in order to accelerate

(i) the destruction of unnecessary or obsolete material,

(ii) the transfer of dormant or inactive material to a Public Archives records centre.

(d)   including evidence of the application of (b) and (c) in
      all requests to the Department of Public Works, Accommodation
      Division, concerning their movement in whole or in part to
      other buildings or areas of buildings or within the same
      building, where such movement involves file or record
      registries.

6. RESPONSIBILITY OF THE DEPARTMENT OF PUBLIC WORKS

The Accommodation Division, Department of Public Works, will
be responsible for ensuring that any request for the movement of
a department or agency as outlined in 5(d) is accompanied by
evidence of a departmental review of existing file registry contents.

7. RESPONSIBILITY OF THE DEPARTMENT OF DEFENCE PRODUCTION

It will be the responsibility of the Department of Defence Production
to refuse all requests for purchase of conventional filing cabinets
unless such request is certified by the departmental records
coordinator as meeting requirements for private offices and/or
security file cabinets.

Assistant Secretary.

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